DOCUMENT RESUME

ED 420 783 CE 076 749

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|---|---|
| TITLE | Updated Guidelines for Training Package Developers. Australia's National Training Framework. |
| INSTITUTION | Australian National Training Authority, Melbourne |
| ISBN | ISBN-0-642-25389-7 |
| PUB DATE | 1998-03-00 |
| NOTE | 68p. |
| AVAILABLE FROM | Australia National Training Authority, Level 5, 321 Exhibition St., Melbourne, Victoria 3000, Australia. |
| PUB TYPE | Guides - Non-Classroom (055) |
| EDRS PRICE | MF01/PC03 Plus Postage. |
| DESCRIPTORS | Apprenticeships; Competence; *Competency Based Education; Education Work Relationship; Educational Environment; Employment Qualifications; Evaluation Methods; Foreign Countries; Guidelines; *Instructional Materials; *Job Training; *Material Development; National Curriculum; *National Standards; Postsecondary Education; Secondary Education; Student Evaluation; *Vocational Education |
| IDENTIFIERS | *TAFE (Australia) |

ABSTRACT

This document contains the latest guidelines for developing nationally endorsed training packages for use in Australia's system of vocational education and training (VET). Discussed in section A are the following aspects of the context in which the training packages emerged: development of the National Training Framework and associated new recognition arrangements and User Choice; the training packages' relationship to New Apprenticeships; and the research required to establish the scope and market demand for products associated with training package development. Section B describes the scope, format, and quality requirements of the endorsed components of training packages: competency standards governing content, technical, and process quality; guidelines for assessor qualifications and training and design and conduct of assessments; and qualifications. Examined in section C are the types of material that could be included in the nonendorsed components of training packages (learning strategies, assessment resources, and professional development materials). In section D, the endorsement process is considered in relation to training packages' three endorsable components and reporting arrangements for other components, and the tendering arrangements for development of training package components are outlined. Concluding the document are guidelines for printing, final reproduction, and preparation of training packages for the National Training Information Service. (MN)

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# Updated March 1998

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These Guidelines replace the *Guidelines for Training Package Developers* published in June 1997.

They also replace the update of the Assessment Sections of the Guidelines issued in January 1998.

Users of the original Guidelines need to note the following:

- the Assessment sections have been revised
- the Qualifications sections have been revised
- the Context section has been updated to include information about the Australian Recognition Framework (ARF)
- guidelines have been included for the printing and final reproduction of Training Packages
- guidelines have been included for the presentation of information on the National Training Information Service (NTIS).

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ISBN 0 642 25389 7

The document is divided into six main sections:

SECTION A: CONTEXT PAGE 2

This section describes the context from which Training Packages have emerged. This includes the development of the National Training Framework and associated new recognition arrangements and User Choice, as well as the role of Training Packages in relation to New Apprenticeships. The section also provides information on the necessary research to establish the scope and market demand for the products associated with the development of Training Packages.

SECTION B: ENDORSED COMPONENTS PAGE 7

This section provides a description of the scope, format and quality requirements of the endorsed components of Training Packages.

More detailed information in relation to the alignment of competency standards with the Australian Qualifications Framework (AQF) will be provided following the development of additional guidance material to support the operation of the AQF in the VET sector.

This section should be read in conjunction with three other documents:

1. *Standards Best Practice Manual [interim]* - available through ACTRAC Products Limited, phone: (03) 96309847, fax: (03) 96394684.
2. *National Competency Standards - Policy and Guidelines - second edition 1992* - available through ANTA, phone: (07) 32462300, fax: (07) 32462490.
3. *AQF Implementation Handbook* - available through AQF Advisory Board Secretariat, phone: (03) 96391606, fax: (03) 96391315.

Information from these publications will be reviewed and incorporated into Guidelines or into a supporting Best Practice Manual at a later stage. This will include greater detail and advice on practical approaches to the development of Training Package components and related issues such as equity and access.

SECTION C: NON-ENDORSED COMPONENTS PAGE 35

This section incorporates a description of the types of material which could be included in the non-endorsed components of Training Packages plus additional information for Training Package developers. This section will be further developed and supported with best practice examples at a later stage.

SECTION D: ENDORSEMENT AND TENDERING ARRANGEMENTS PAGE 56

This section provides a description of the endorsement process in relation to the three endorsable components of Training Packages and the reporting arrangements for other components. It also outlines the tendering arrangements for the development of Training Package components.

SECTION E: GUIDELINES FOR PRINTING AND FINAL REPRODUCTION PAGE 60

SECTION F: GUIDELINES FOR PREPARATION FOR THE NATIONAL TRAINING INFORMATION SERVICE PAGE 62

These updated guidelines have been prepared by the Australian National Training Authority (ANTA) to assist in the development of nationally endorsed Training Packages. This version of the guidelines reflects the further development of Training Package policy which has been undertaken between June 1997 - when the guidelines were first released - and early 1998.

Organisations seeking to develop a Training Package must apply to the National Training Framework Committee (NTFC) for recognition.

Training Packages apply to all vocational qualifications, including those associated with New Apprenticeships. They are being developed in the context of a number of related initiatives, including the implementation of a National Training Framework (NTF) as well as the introduction of New Apprenticeships and User Choice.

## NATIONAL TRAINING FRAMEWORK (NTF)

The Training Package sits within a more flexible and industry relevant regulatory environment - the NTF. ANTA's NTFC is overseeing the development of the NTF. In relation to Training Packages, it endorses competency standards, Assessment Guidelines and related vocational education and training (VET) qualifications. It also advises the ANTA Board on policies to ensure quality training outcomes go hand in hand with national consistency, while meeting the training needs of enterprises and regions.

The main quality assurance features of the NTF are as follows:

- Competency standards which provide broadly based, user friendly, national benchmarks for program development, delivery, assessment and certification. Quality assurance is central to the role of the NTFC.
- Assessment becomes a key part of the quality assurance system, supported by agreed national principles and industry determined Assessment Guidelines, endorsed as part of the Training Package.
- Quality Assurance for Australian Qualifications Framework (AQF) qualifications issued within the VET sector are streamlined and improved through the identification of national qualifications as part of Training Packages.

## AUSTRALIAN RECOGNITION FRAMEWORK (ARF)

New arrangements for national recognition within VET - known as the ARF - came into effect on 1 January 1998. The ARF is a major joint government initiative to streamline VET recognition processes and ensure that skills and qualifications are recognised across Australia. It will also encourage greater flexibility and responsiveness on the part of training organisations and assist in providing a more competitive national training market for VET products and services. The new recognition arrangements are underpinned by strengthened quality assurance measures, including nationally agreed registration requirements and rigorous monitoring and audit processes.

## MUTUAL RECOGNITION

Mutual Recognition of training organisations, qualifications and training products is at the core of the ARF. This means that national AQF qualifications and Statements of Attainment issued by one Registered Training Organisation (RTO) will be accepted and recognised by all other RTOs. This includes qualifications identified within endorsed Training Packages or through accredited courses, where relevant Training Packages do not exist. Through Mutual Recognition, RTOs can also operate in another State or Territory, without having to go through a further registration process, provided this is within the scope of their original registration.

## REGISTRATION OF TRAINING ORGANISATIONS

From 1 January 1998, all training organisations - including TAFE institutes - which issue AQF qualifications and Statements of Attainment will need to be registered. Under the ARF, registration is related to the provision of products and services within an agreed scope, rather than simply being tied to the delivery of particular courses. Registered training providers are now known as RTOs.

There are two broad product/service areas for registration:

- provision of training delivery, assessment and the issuing of nationally recognised qualifications and Statements of Attainment
- provision of skill recognition services (assessment only) and the issuing of nationally recognised qualifications and Statements of Attainment.

The specific area of operation is defined by national Training Package(s) and/or accredited course(s) where relevant Training Packages do not exist, and by highest qualification level.

By meeting the National Standards for Quality Endorsement, an RTO can also receive delegations from a State/Territory Recognition Authority to:

- self-manage the scope of its registration
- self-accredit courses, where no relevant Training Package exists.

## QUALITY ASSURANCE

Registration of training organisations is the key quality assurance mechanism within the VET sector. Registration includes the requirement for all RTOs to operate in accordance with:

- National Principles for Registration and Mutual Recognition
- National Standards for Registration
- National Operational Protocols.

Enhanced external review processes, including regular monitoring and external compliance audits, are also a critical aspect of quality assurance under the ARF.

Full details of the ARF arrangements are included in the publication: *Australian Recognition Framework Arrangements*, available from ANTA, phone (03) 9630 9819, fax (03) 9630 9888.

A more detailed summary of the key elements of the NTF is included in the publication *Assuring Quality and Choice in National Training. Australia's National Training Framework*, available from ANTA, phone (07) 32462300, fax (07) 32462490.



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## NEW APPRENTICESHIPS

The Training Package is a key resource for the delivery of the new structured training arrangements related to New Apprenticeships. Benefits associated with New Apprenticeships include:

- the opportunity to gain and practise skills in a work environment
- the opportunity to gain overall work skills eg time management, team work, problem solving in a real work environment, responsibility and accountability
- the greater likelihood of ongoing employment after completion of the training program and obtaining the qualification
- contribution by the apprentice or trainee to workplace skills and productivity.

Under the new NTF, New Apprenticeships consist of the following elements:

- a negotiated training program responsive to client choice, that involves obtaining a nationally recognised qualification (meeting a specified package of endorsed standards) through paid work and structured training, which may be both on-the-job and off-the-job
- a registered training agreement, validated by the State/Territory Training Authority, between the employer and the apprentice or trainee which will facilitate the objectives of the training program and which protects the interests of both parties.

A training agreement between the employer and employee formalises the commitment of the employer to provide systematic training and the apprentice / trainee to apply themselves to learn the trade / occupation. In the past, contracts and indentures have focused insufficiently on training outcomes sought by the employer and apprentice / trainee. In future, training agreements will have a greater emphasis on training outcomes and will refer explicitly to the Training Package and the qualifications to be delivered.

Specific competency outcomes consistent with the requirements identified in the Training Package will be agreed in conjunction with the employer. These employment based training arrangements will be possible at all levels of the VET component of the AQF, ranging from Certificate 1 to Advanced Diploma.

## USER CHOICE

The use of Training Packages is complemented by the introduction of User Choice as the funding mechanism for New Apprenticeships. Under User Choice, public funds flow to individual RTOs, reflecting the choice of RTO made by the client.

The User Choice approach gives significantly greater market power to individual clients, increases responsiveness on the supply side of the training market and will result in the efficient use of resources.

## RESEARCH AND SCOPE

Training Packages are intended to be a set of high quality, high profile products that will form the basis for vocational training provided throughout Australia, including training associated with New Apprenticeships and for the existing



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workforce. All institutionally based training leading to qualifications covered by the Training Package will also be required to deliver the competencies identified, and utilise the industry Assessment Guidelines in assessing the achievement of outcomes.

In this regard, it is important to ensure that the Training Package produced is accepted and valued by key stakeholders, is marketable, launched appropriately, and linked to ongoing implementation in the industry. There is a need therefore, for a first stage of research and scoping in each industry to precede detailed work on the development of a Training Package.

ITABs and Training Package developers may already have established some of this information or planned for it in their proposals. For those that have not, research to validate the structure of the Training Package and the market demand for the products, particularly from enterprises but also from providers, is necessary.

The aim of a first stage of research is to:

1. Establish the scope and structure of the proposed Training Package. This includes:
   - the breadth of the Training Package, including the extent of commonalities in competencies
   - relationship to the patterns of enterprise use of competencies across sectors or streams
   - the AQF levels to be covered
   - an indication of the range of qualification outcomes.
2. In relation to New Apprenticeships, establish the range of apprenticeships and traineeships that would be covered by the Training Package. This includes:
   - identifying the existing range of apprenticeships and traineeships and other entry level training mechanisms and pathways
   - considering the qualifications likely to be established, given that in the new pattern of apprenticeships and traineeships, all qualification outcomes in the industry should potentially be open to a New Apprenticeships pathway for achievement, ie through an 'employment based contracted training' pathway, which can go up to Advanced Diploma level and include approaches such as cadetships or internships
   - identifying any qualifications which, due to the high level of specialisation, are not appropriate for achievement through employment based New Apprenticeships arrangements. The extent of demand for New Apprenticeships is a significant consideration in the development of Training Packages, although the Training Packages must also meet the needs of those seeking vocational qualifications through other pathways. The New Apprenticeship arrangements will be spread across industries and will not be confined to the currently defined trade areas.

   Factors to consider in providing this advice include:
   - changes to traditional patterns of apprenticeships and traineeships, including broadening and increasing flexibility as well as addressing the needs of emerging work areas
   - establishing the pattern of formalised entry level training in industries where there is no history of apprenticeships or traineeships.
3. Undertake market research within the covered industry or sector, particularly at enterprise level, to validate:



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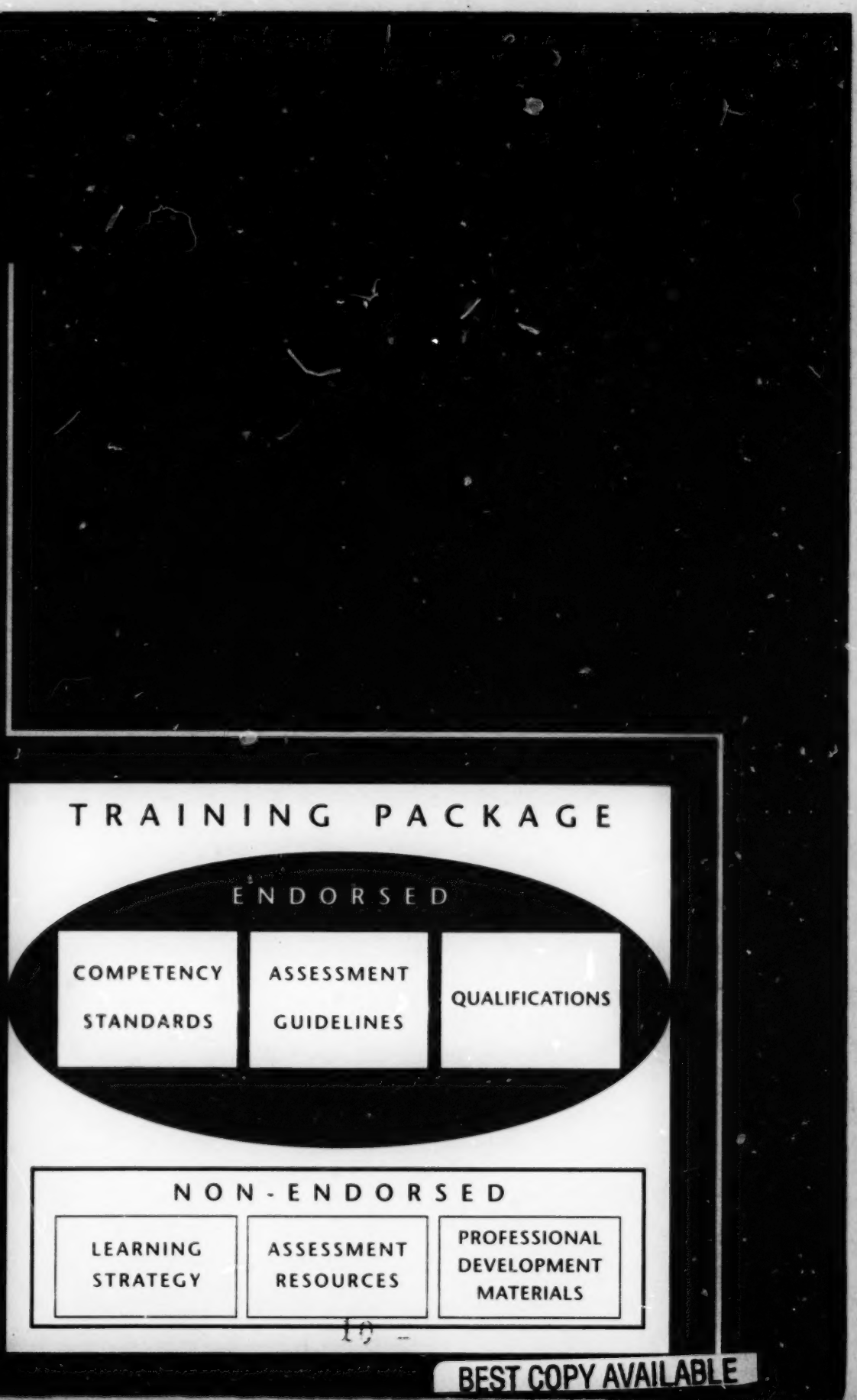
- the appropriateness, scope and structure of the Training Package
- the pattern of New Apprenticeship arrangements
- the extent of market demand for the proposed range of products in the Training Package.

4. Establish the materials already available to use within the Training Package, considering:
   - the necessary components of the Training Package already available
   - the currency and status of that material, so that its quality, useability and ownership is established
   - the extent of any gaps identified and subsequent new or redevelopment work needed.

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This section identifies the requirements for Training Package developers in relation to the three endorsed components of Training Packages - Competency Standards, Assessment Guidelines and Qualifications.

In addition to the requirements identified for each component in these Guidelines, developers should aim to ensure a close integration of the three areas, both during the development phase and in relation to the final product. All the endorsable components should be appropriate for, and effective across, the range of industry and enterprise uses of the Training Package. In particular, they should effectively guide flexible training and assessment design, and enable reliable assessment against competency standards. They should also support broad and flexible career paths, transferability, portability, varied learning pathways and high quality training and assessment outcomes.

All the components must be designed to meet the needs of the full diversity of the workforce, providing for adequate access by all groups, including those from a Non-English Speaking Background (NESB). They must also address relevant occupational health and safety requirements.

These guidelines are to be used on an interim basis to guide the endorsement process of the NTFC. Further information in relation to the agreed NTFC endorsement procedures is included in Section D of these Guidelines.

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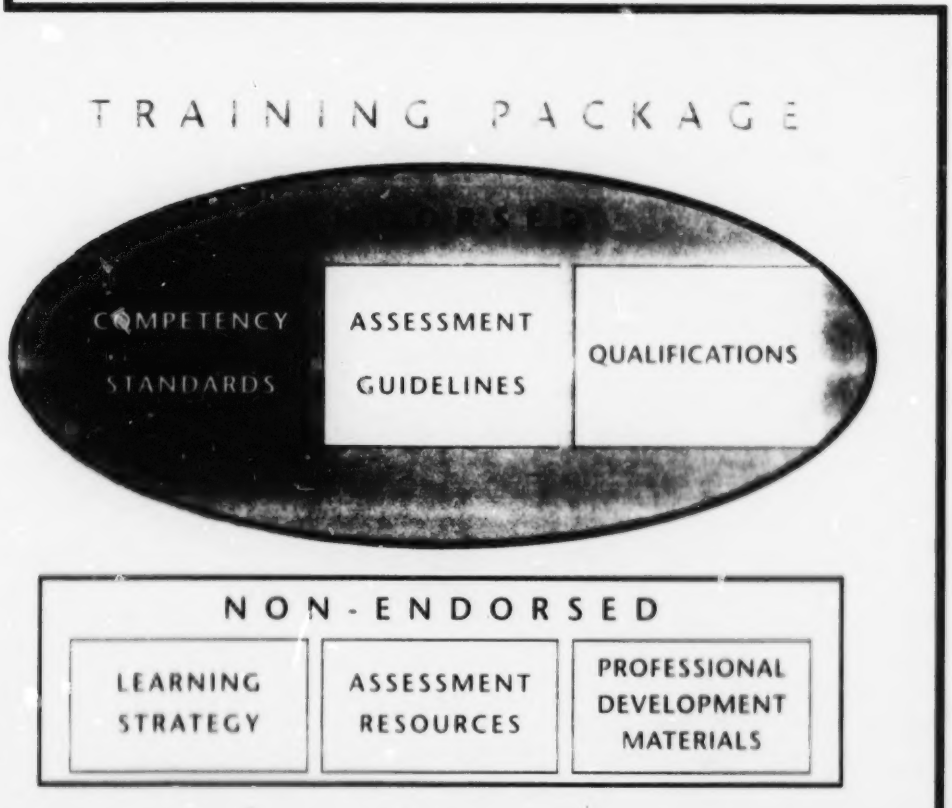
# Competency Standards



## DESCRIPTION

**Competency standards are a key endorsable component of industry and enterprise Training Packages. Competency standards must meet Ministerially agreed quality criteria in order to gain national endorsement.**

## INFORMATION

**Pending the development of further information on the design of Training Packages, the information in this section complements, and can be used in conjunction with, the *Standards Best Practice Manual and National Competency Standards - Policy and Guidelines - second edition (refer Contents page i).***

**There are three broad sets of quality criteria on which the endorsement of competency standards is based. These are:**

1. **Content Quality**
2. **Technical Quality**
3. **Process Quality.**

## 1. CONTENT QUALITY

### COVERAGE

- **Competency comprises the specification of knowledge and skill and the application of that knowledge and skill to the standard of performance required in the workplace.**
- **Competency standards should cover a range of functions which are meaningful in the workplace and be appropriate to either an enterprise, industry or cross-industry application. [Refer to Section 2 : *Standards Best Practice Manual*].**
- **The standards should be drafted to avoid bias and discrimination. In particular, this applies to the language used in defining standards, the approaches used in the development of standards, and the identification of aspects of competency that may not be recognised as mainstream activities in the workplace but are critical to work performance. [Refer to *Eliminating Gender Bias in the Development of National Competency Standards: An Addendum to National Competency Standards Policy and Guidelines*].**
- **Competency standards should provide the basis for skill formation now and in the future. They should incorporate the ability to apply new skills in new situations and changing work organisation, rather than only reflecting the tasks currently performed. [Refer to Section 2: *Standards Best Practice Manual*].**

### COMPONENTS

- **The concept of competency focuses on what is expected of an employee in the workplace rather than on the learning process and embodies the ability to transfer and apply skills and knowledge to new situations and environments. This is a broad concept of competency in that all aspects of work performance, not only the narrow task skills, are included. It encompasses:**
  - **the requirement to perform individual tasks [task skills]**
  - **the requirement to manage a number of different tasks within the job [task management skills]**
  - **the requirement to respond to irregularities and breakdowns in routine [contingency management skills]**
  - **the requirement to deal with the responsibilities and expectations of the work environment [job / role environment skills], including working with others.**



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In addition to being based on this broad concept of competency, standards should be:

- related to realistic workplace practices
- expressed as outcomes
- written in clear, simple, user-friendly language so as to be readily understandable to trainers, supervisors, potential employers and trainees.

[Refer to Section 2: *Standards Best Practice Manual.*]

- Competency standards should incorporate appropriate underlying skills and knowledge as this relates to competence in the workplace, and deal with attitudes and values in a way that focuses on their relationship to outcomes achieved.

- Competency standards must also incorporate or identify Key Competencies and their related levels, and incorporate language, literacy and numeracy competencies.

  There are two approaches to the incorporation of Key Competencies, namely at the individual unit level or the packaged group of units level. Guidance on identification in each unit's Evidence Guide is still applicable in the first case. In certain circumstances it may be determined that identification of what Key Competencies are underpinning or enabling the industry competencies to achieve is best exampled through considering meaningful groups of units.

  In this case the range of Key Competencies covered by a package of units can be provided rather than a unit by unit identification. The identification of Key Competencies in a package of units may therefore relate directly to a qualification outcome. The Key Competencies should be identified by performance level. [Refer to Section 6 : Standards Best Practice Manual.]

  Incorporation of language, literacy and numeracy competencies may also be approached through the consideration of meaningful groups of units. Work is currently underway to support the incorporation of language, literacy and numeracy competencies into competency standards.

- General competencies such as in areas of occupational Health and Safety and, where required, regulatory and licensing requirements must also be fully considered in the development of the standards.

  Occupational Health and Safety functions included in standards may still require reference to the Worksafe Australia protocol on incorporation of these in competency descriptors. [Refer to Section 7: *Standards Best Practice Manual*].

- Other endorsed industry or cross-industry standards should also be incorporated where they are relevant. The incorporation of existing units of competence, preferably with minimal changing of wording, supports the portability of standards and assists to reduce duplication. Such units should be cross-referenced to related sets of standards.

  The developer should show why any relevant standards have not been used. Where a unit is said to be equivalent to another endorsed unit, then it should mean that assessment as competent in one unit will mean competence in the other unit. If some other level of equivalence or if some gaps in equivalence exist, then this must be clearly identified.



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## FORMAT

- Competency standards are to be presented in a consistent format comprising:
  - Unit title - the title of a general area of competency
  - Unit descriptor - optional, assists with clarifying the unit title
  - Elements of competency - describe the outcomes which contribute to a unit
  - Performance Criteria - specify the required level of performance
  - Range of Variables - identify range of contexts and conditions to which the performance criteria apply
  - Evidence Guide - assists with interpretation and assessment of the unit.

  [Refer to Section 2: *Standards Best Practice Manual and National Standards Policy and Guidelines - second edition* - for detailed requirements.]

The content and format requirements for units of competency are essential elements for ensuring national consistency in training, assessment and formal recognition. Where the Training Package covers a whole industry or major sector within an industry the Range of Variables statements and Evidence Guides are particularly important. They must be comprehensive in terms of the full intended use of the unit/s within the Training Package and clearly specify the critical aspects of competency which must be included in training and attested to in assessment. The extent to which the variables can be customised should be clear and unambiguous. [Refer to Section 3: Process Quality.]

An Evidence Guide is particularly vital in Training Package implementation. Its purpose is to guide assessment of the unit of competence. Each unit of competence has an Evidence Guide which relates directly to the Performance Criteria and Range of Variables and must support the Assessment Guidelines. It is important to fully specify the inter-relationships between units in terms of co-requisite or pre-requisite status as this is essential guidance for ensuring training and assessment capture all the workplace requirements for skills and knowledge. [Refer to Section 3: *Standards Best Practice Manual.*]

Where competency standards have previously been endorsed, they should be carefully reviewed to ensure they meet the technical quality requirements as well as any content requirements. **It is extremely important that they are sufficiently clear and detailed to allow an unambiguous and consistent interpretation of industry requirements in relation to training and assessment.** This applies to all parts of competency standards, but will need particular attention in relation to Unit titles and to the definition of the Range of Variables and Evidence Guide requirements, as these apply to training and assessment.

## CUSTOMISATION OF COMPETENCY STANDARDS

In Training Packages, customisation is the tailoring of units of competence by the inclusion, modification or substitution of competency units within their alignment with AQF qualifications.

There are three broad principles relating to the customisation of competency standards. Any customisation must ensure the integrity of:

1. industry skill requirements
2. industry portability requirements
3. the national competency standards system and AQF qualifications.

These principles are the basis on which an industry can establish the approach to customisation that best meets its required skills development.

The industry organisation responsible for submitting the Training Package for endorsement needs to *provide advice on customisation arrangements* for its industry at the time of submitting the Training Package for endorsement. This advice will be based on wide consultation with enterprises during the development of the Training Package to determine the demand for and best ways of accommodating customisation for that particular industry. Given the close interrelationship between competency standards and qualifications, the advice will generally encompass both the Competency Standards and Qualifications sections of these Guidelines (Refer Qualifications Section 4).

The industry should include advice on such matters as:

- the particular units which are essential to the skill levels and portability of skill across the industry. This will usually include all core units, but may also include certain 'stream' units
- the type and number of units which may be substituted, modified or added without affecting the overall integrity of the qualification awarded. It will be a minimum requirement that all new competency standards units meet the national format and quality requirements, and that substitute units have already been endorsed as part of another endorsed Training Package
- possible sources of alternative units which may be substituted or added without further endorsement. This might include identified competency standard units from areas of overlap with allied industries or competency units from other endorsed enterprise standards within the Training Package
- how assessment guidelines may be modified when customisation of competency units occurs
- processes for the incorporation of enterprise-specific units in addition to or in place of other units, where the enterprise supports their wider use
- processes whereby enterprises and providers can consult with and / or notify the relevant ITAB or allied ITABs of the modifications.

RTOs will be able to customise standards and qualifications where this is consistent with industry advice provided at the time of endorsement. They will not, however, be able to change units of competency and insert new competency standards in conjunction with the development of specific training programs, unless this is clearly consistent with customisation advice provided by the industry at the time of endorsement. Further guidance on this aspect will be provided as part of the supplementary guidelines on qualifications for the VET sector.

In summary, in the Training Package context, customisation applies primarily to the inclusion, modification or substitution of competency units in a Training Package within their alignment with AQF qualifications. This approach places the responsibility for developing customisation policy within particular industries, by allowing them to be the best judges of how benchmarks can be monitored and modified without diluting the benchmark or unduly limiting its usage.

## CONSULTATION

- Development must include full involvement of representative stakeholders in the enterprise, industry or cross-industry grouping that the standards apply to, and support the implementation of the Training Package as a whole.
- Consultation on the standards should be undertaken with all affected and relevant organisations and individuals, including other ITABs and industry advisory bodies with appropriate, overlapping or cross-industry standards, professional bodies and representatives of relevant training authorities.
  [Refer to Section 5: *Standards Best Practice Manual.*]

## METHODOLOGY

- Effective methodologies for the development of competency standards must be employed and fully documented.
- There are four key stages in the development of competency standards, namely:
  - review of the industry, enterprise or cross-industry sector
  - undertake an information search
  - develop draft standards
  - validate draft standards.
- There is a range of methodologies that can be applied in the development of competency standards. The methodology selected should ensure that standards development:
  - incorporates the four key stages listed above
  - is practical and cost effective;
  - leads to standards that can be effectively assessed
  - leads to standards which are widely accepted and endorsed by industry.

  [Refer to Section 5: *Standards Best Practice Manual and National Competency Standards Policy and Guidelines - second edition.*]
- The methodology should reflect the complexity and diversity of the industry and its workforce.

## VALIDATION

- Validation of the competency standards by industry, including enterprises, must occur and should be comprehensively documented.
- Validation of industry standards must include industry stakeholders not directly involved with the development work to ensure that outcomes meet industry needs.
- Whilst there is no set method of validating standards, the validation process often involves:
  - circulation of draft standards to interested parties for comment;
  - detailed consultation with key stakeholders which may include:
    - selected interviews
    - workshops
    - workplace observations
  - trialing the standards.

  [Refer to Section 5: *Standards Best Practice Manual.*]

## REVIEW AND MAINTENANCE OF COMPETENCY STANDARDS

An outline of the process for reviewing and maintaining competency standards must be included.

The purpose of a review is to validate the competency standards in the light of experience derived from implementation and having regard to changes in the structure, technology, economic environment, and workplace organisation common to the industry.

**The review should encompass but need not be limited to the following:**

- the technical quality of the standards
- industry use and acceptance of the standards as benchmarks for vocational training arrangements and recognition of prior learning
- consistency and overlap with standards in related industries
- the possible existence of bias in the standards
- the reliability of the standards when used as the basis for assessment
- the appropriateness of the alignment with the AQF.

This process may be incorporated in the broader processes for the review and maintenance of Training Packages.

## GLOSSARY

**Competency**
Comprises the specification of knowledge and skill and the application of that knowledge and skill to the standard of performance required in the workplace.

**Customisation**
In Training Packages, customisation is the tailoring of units of competence by the inclusion, modification or substitution of competency units within their alignment with AQF qualifications.

**Endorsement**
The formal recognition of endorsable Training Package components by the NTFC.

**Evidence Guide**
This is part of a unit of competence. Its purpose is to guide assessment of the unit of competence in the workplace or institution. Each unit of competence has an Evidence Guide which relates directly to the Performance Criteria and Range of Variables.

**Key Competencies**
Employment related general competencies that are essential for effective participation in the workplace.

**Task**
A discrete, identifiable and meaningful component of work that is carried out for a specific purpose leading to a particular outcome.

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| COMPETENCY STANDARDS SUMMARY* | | |
|---|---|---|
| **KEY FEATURE** | **COMPETENCY STANDARD REQUIREMENTS** | |
| **1.** | **CONTENT QUALITY** | |
| **Coverage** | Cover a range and breadth of functions meaningful in the workplace | ☐ |
| | Incorporate or identify overlapping industry and cross-industry standards qualifications | ☐ |
| | Avoid bias or discrimination | ☐ |
| | Outcome-focussed and suitable for flexible use by enterprises | ☐ |
| **Components** | Full expression of competency: task / task management skills | ☐ |
| | contingency management and job / role environment skills | ☐ |
| | Incorporate underlying knowledge and skills | ☐ |
| | Incorporate or identify key competencies | ☐ |
| | Incorporate language literacy and numeracy | ☐ |
| | Identify regulatory and licensing requirements | ☐ |
| **2.** | **TECHNICAL QUALITY** | |
| **Format** | Meet national format requirements | ☐ |
| | Range of Variables statements provide a full context for unit assessment | ☐ |
| | Evidence Guides included which establish underpinning knowledge and skills and the key aspects for assessment | ☐ |
| | Evidence Guides linked to Performance Criteria and Range of Variables | ☐ |
| **Customisation** | Advice on customisation identified | ☐ |
| **3.** | **PROCESS QUALITY** | |
| **Consultation** | Reference group employed | ☐ |
| | Full consultation process ie key industry players; enterprises, including small business; STAs; RTOs | ☐ |
| **Methodologies** | Effective development methodologies used | ☐ |
| | Inclusive approach to equity groups | ☐ |
| **Validation** | Validation undertaken involving enterprises and industry parties including those outside reference group | ☐ |
| **Review and Maintenance of Standards** | Review and maintenance process identified | ☐ |

KEY: Y = Yes N = No I = Incomplete

***Note: This checklist is primarily for the use of Training Package developers but is also a basis for the structure and detailed submission of Training Packages for endorsement.**



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# Assessment Guidelines

TRAINING PACKAGE

NON-ENDORSED

| LEARNING STRATEGY | ASSESSMENT RESOURCES | PROFESSIONAL DEVELOPMENT MATERIALS |
|---|---|---|

## DESCRIPTION

Assessment Guidelines form one of the three endorsed components of Training Packages. They describe the industry or industry sector's assessment system. That system must be consistent with the principles of the ARF.

As assessment is the process of collecting evidence and making judgements on whether competency has been achieved. The purpose of assessment is to confirm that an individual can perform to those standards expected in the workplace, as expressed in the relevant endorsed industry / enterprise competency standards contained in the Training Package.

A Training Package incorporates an assessment system, based on principles agreed by Ministers and consistent with the ARF, which is designed to ensure the validity, reliability and fairness of assessments conducted in workplace and institutional contexts.

The Assessment Guidelines component of a Training Package comprises five sections, namely:

1. *Assessment System Overview* - a description of the assessment system which operates in the specific industry or industry sector
2. *Assessor Qualifications and Training* - an outline of the qualifications required for assessors, the ways in which these requirements can be met and the training that is available for assessors
3. *Guidelines for Designing Assessment Resources* - a description of the processes involved in designing assessment resources which enable assessors to gather sufficient, valid and reliable information for making assessment decisions
4. *Guidelines for Conducting Assessments* - an overview of the industry endorsed processes for conducting assessments
5. *Sources of Information on Assessment* - details of sources of information on the industry assessment system.

## INFORMATION

This section aims to provide advice for industry organisations on the material that should be incorporated in the Assessment Guidelines component of a Training Package.

Assessment Guidelines comprise five main sections, namely:

1. Assessment System Overview
2. Assessor Qualifications
3. Guidelines for Designing Assessment Resources
4. Guidelines for Conducting Assessments
5. Sources of Information on Assessment.

The Assessment Guidelines will be available through the National Training Information Service (NTIS). The Guidelines, along with other endorsed elements of Training Packages, will be entered onto the NTIS template by the developer of the Training Package.

## SECTION ONE
## ASSESSMENT SYSTEM OVERVIEW

A description of the assessment system which operates in the industry or industry sector should be provided in this section. **In developing an assessment system, industries should be mindful that any industry specific arrangements should not be restrictive or lead to unnecessary additional costs for State / Territory delivery systems.** The assessment system overview would normally incorporate the following information.

## 1. BENCHMARKS FOR ASSESSMENT

**A statement identifying the competency standards that form the assessment benchmarks.**

Explanatory notes

- Competency standards, which are part of the endorsed component of Training Packages, form the assessment benchmarks.
  Competency standards incorporate comprehensive Evidence Guides designed to support the assessment of the competency, specifically the four components:
  - task skills
  - task management skills
  - contingency management skills
  - job / role environment skills.

  The Evidence Guide in the Competency Standards will provide sufficient detail to ensure that the assessment of competency incorporates assessment of underpinning knowledge, skills and application.
- The Assessment Guidelines must provide advice that is consistent with the advice provided in the competency standards - particularly the assessment environment information in each Evidence Guide.
- Useful additional information can be included where this adds clarity, eg a recommendation that certain units of competency be grouped for assessment.
- This sub section identifies the title and current version of the competency standards.
- Where language, literacy and numeracy requirements for effective workplace performance are particularly referenced in the competency standards, guidance on the assessment of these aspects of competency is included in the Assessment Guidelines.

## 2. ROLE OF REGISTERED TRAINING ORGANISATIONS (RTOs)

**A statement identifying:**

- **the responsibilities of RTOs in conducting assessments and issuing qualifications or Statements of Attainment under the AQF**
- **potential partnership arrangements with RTOs for auspicing assessments.**

Explanatory notes

- Assessment for national recognition purposes must be undertaken by, or auspiced through, an RTO or conducted under quality assurance arrangements approved by State or Territory Training or Recognition Authorities.
- Under the ARF, RTOs (under delegation from State and Territory Training Authorities) have responsibility for assessments, including the recording and reporting of assessment outcomes, appeals, and the issuing of qualifications and statements of attainment.
- This sub section should provide a description of:
  - options for workplaces and industry bodies in meeting the requirements of the ARF in respect of RTOs' roles and responsibilities
  - recommended partnership or auspicing arrangements between workplaces and appropriate RTOs
  - the details of partnership arrangements with Training Organisations registered for 'assessment only' services
  - alternative assessment processes approved by State or Territory Training or Recognition Authorities in collaboration with industry.

## 3. ASSESSMENT PATHWAYS

**A description of assessment pathways leading to:**

- **national recognition**
- **the issuing of qualifications or Statements of Attainment under the AQF.**

Explanatory notes

- This sub section incorporates a description of different assessment pathways including:
  - assessment and qualification pathways eg New Apprenticeships and Traineeships
  - assessment only pathways eg workplace assessment.
- This sub section provides a description of the operation of recognition of prior learning / current competencies processes in both workplace and institutional contexts.
- This sub section includes a flow diagram outlining the assessment pathways.
- Assessment approaches should not adversely affect access by placing restrictions on the location or context of assessment which exceed the requirements specified in the competency standards.

# SECTION TWO
# ASSESSOR QUALIFICATIONS

The qualifications required for assessors and the ways in which these requirements can be met should be provided in this section.

## 1. ASSESSOR QUALIFICATIONS

**A statement of the qualifications that must be held by those involved in conducting assessments.**

Training Package Developers must include the following statement in this section of the endorsed Assessment Guidelines of all Training Packages:

*Assessments against competencies in the Training Package will be carried out in accordance with these endorsed guidelines. The guidelines include the necessary qualifications for those conducting assessments and provide for those situations where more than one person may contribute to the assessment and where the required technical and assessment competencies may not all be held by any one person.*

Explanatory notes

- All assessments require the application of the following endorsed competency standards:
  - 'The Assessment Competency Standard: Conduct Assessment in Accordance with an Established Assessment Procedure' and 'Extension Unit: Plan and Review Assessment' from the *Competency Standards for Assessment*. These are available from the National Assessors and Workplace Trainers Body, PO Box 2164, Clovelly, NSW. Telephone number (02) 9664 2305
  - the relevant vocational competencies at least to the level being assessed.
- Other industry requirements may exist, for example assessors may be required to:
  - know the competency standards to be demonstrated
  - know current industry practices for the job or the role against which the performance is being assessed
  - practise the necessary interpersonal skills required in the assessment process.
- This sub section should indicate the ways in which individuals can meet the requirements that assessors should be competent against the relevant assessment competency standards. This may be achieved through the completion of either a recognised training program or an approved Recognition of Prior Learning process conducted in accordance with

the ARF. This latter option may be particularly relevant to those people, such as TAFE teachers and some workplace supervisors, who have not been assessed against the endorsed standards but who, nevertheless, have demonstrated expertise in the preparation, conducting and evaluation of assessment in the workplace.

- This sub section should also indicate the ways in which individuals can meet any additional requirements that an industry sets for assessors.
- Where a Statutory Licensing System and the qualification outcomes of a Training Package are consistent, additional requirements to be met by RTOs, such as assessor registration, can be included in this section of the endorsed Assessment Guidelines.
- This sub section should be cross referenced to the Assessment System Overview; Role of RTOs.

## 2. USING QUALIFIED ASSESSORS

**A description of the ways of meeting the requirement for using qualified assessors.**

Explanatory notes

- This sub section details the ways in which the requirement to use qualified assessors may be implemented in different workplace and institutional contexts.
- The requirement to use qualified assessors may be met through the use of either:
  - a workplace assessor who is competent against the assessor competency standards and the relevant technical competencies
  - a workplace assessor who is competent against the assessor competency standards and who has ready access to another person who is competent in, and can advise the assessor on, the relevant vocational competencies at least to the level being assessed
  - an assessment panel, which includes at least one person who is competent against the assessor competency standards, as well as at least one person who is competent in the relevant vocational competencies at least to the level being assessed
  - an external assessor who is competent against the assessor standards but with the assessment evidence being collected, utilising industry endorsed assessment procedures, by a workplace supervisor who has the relevant vocational competencies at least to the level being assessed
  - a workplace supervisor with the relevant vocational competencies at least to the level being assessed who utilises industry endorsed assessment procedures with the outcome being validated by an external assessor who is competent against the assessor standards.

# SECTION THREE GUIDELINES FOR DESIGNING ASSESSMENT RESOURCES

A description of the processes involved in designing assessment resources that enable assessors to gather sufficient, valid and reliable information for making assessment decisions may be provided in this section.

**An outline of processes involved in developing assessment resources.**

Explanatory notes

- This section provides an overview of the process of developing assessment resources based on competency standards.
- The *Competency Standards for Assessment* (September 1995) provides a reference for the development of assessment resources.

- Assessment resources must be validated to ensure that they conform with the principles of validity, reliability, flexibility and fairness, and that they are consistent with requirements under the ARF, in that they do not describe processes which would conflict with the ARF.
- Whilst the *Guidelines for Designing Assessment Resources* will vary from industry to industry, it is envisaged that information will be provided on the following:
  - interpretation of competency standards, including performance criteria and evidence guides
  - use of integrated assessment resources
  - use of evidence gathering methods that are gender and culturally inclusive and which take into account the language, literacy and numeracy skills of both assessee and assessor
  - strategies for reducing the cost of assessment activities
  - strategies for assessing competencies related to occurrences that cannot easily be produced or simulated eg a chemical spill
  - extent to which assessment resources can be adapted to suit local conditions, site requirements and enterprise specific practices
  - additional reference materials to support the assessment instrument, such as organisational policies and procedures and manufacturers' instructions
  - use of self-assessment to assess underpinning knowledge and understanding.
- Apart from these Guidelines, Training Package developers should be aware that there is no set format for the design, production or development of assessment resources.

## SECTION FOUR
## GUIDELINES FOR CONDUCTING ASSESSMENTS

An overview of the processes for conducting assessment may be provided in this section.

**An outline of the processes involved in conducting assessments in both institutional and workplace contexts.**

Explanatory notes
- Information about the following could be included:
  - preparation for assessment, including purpose of the assessment, assessment processes and procedures, management and implementation of assessment, assessee readiness for assessment
  - the identification of evidence to be collected, evidence collection methods, methods for recording the evidence, methodology to ensure that the evidence is consistent with the principles of validity, equity, authenticity and sufficiency
  - assessment decision-making, including review of performance criteria from competency standards, evidence compatibility with performance criteria, judgement of assessee's competence, recording the assessment decision
  - provision of feedback on assessment outcomes, including checking assessment records, post-assessment counselling, appeal and reassessment, certification, review of procedures.

## SECTION FIVE
## SOURCES OF INFORMATION ON ASSESSMENT

Details of information sources on assessment systems should be provided in this section.

**A list of sources of information on assessment.**

Explanatory notes

- This section provides a list of resources and organisations relevant to assessors in both institutional and workplace contexts.
- The resource list includes both general assessment and industry specific assessment resources.
- *Competency Standards for Assessment* (September 1995) should be a significant reference point.
- Some categories that could be included are:
  - competency standards and evidence guides
  - assessment instrument design
  - assessor training
  - conducting assessments
  - evidence gathering methods
  - assessment system design
  - managing assessment systems
  - industry assessment systems
  - recognition of prior learning.
- The list could include:
  - print resources
  - audio visual resources
  - assessment materials
  - Industry Training Advisory Bodies
  - assessment centres
  - training programs
  - assessment research centres
  - professional associations and networks
  - professional journals and magazines.

## GLOSSARY

**Appeal process**
The process whereby the assessee or other interested party, such as the employer, may dispute the outcome of an assessment and seek reassessment.

**Assessment**
Assessment is the process of collecting evidence and making judgements on whether competency has been achieved.

**Assessment system**
An assessment system is a controlled and ordered process designed to ensure that assessment decisions made in relation to many individuals, by many assessors, in many situations are consistent, fair, valid and reliable.

**Evidence**
The set of information which, when matched against the relevant criteria, provides proof of the assessee's competency. Evidence can take many forms and be gathered from a number of sources.

**Integrated assessment**
An approach to assessment that covers multiple elements and / or units from relevant competency standards. The integrated approach combines knowledge, understanding, problem solving, technical skills, attitudes and ethics into assessment tasks.

**Reassessment**
An assessment activity initiated as a result of an appeal against the outcome of a previous assessment.

**Records of assessment**
The information of assessment outcomes that is retained by the organisation that is responsible for issuing the nationally recognised Statement of Attainment or Qualification

**Reporting of assessment outcomes**
The different ways in which the outcomes of assessment processes are reported to assessees, employers and other relevant groups. Assessment outcomes may be reported in a variety of ways, including graded, non graded and descriptive reporting systems.

**Review of assessment process**
Planned and systematic analysis of the assessment system.

## ASSESSMENT GUIDELINES SUMMARY*

| KEY FEATURE | INFORMATION INCLUDED IN ASSESSMENT GUIDELINES | |
|---|---|---|
| **1.** | **ASSESSMENT SYSTEM OVERVIEW** | |
| Benchmarks for Assessment | Title and version of competency standards ie assessment benchmarks | ☐ |
| Role of Registered Training Organisations | Role / responsibilities of RTOs in conducting assessments, recording and reporting assessment outcomes, appeal and assessment processes, and issuing qualifications | ☐ |
| | Partnerships with RTOs for auspicing workplace assessment | ☐ |
| | Other assessment processes approved by STAs | ☐ |
| Assessment Pathways | Description of assessment and qualification pathways | ☐ |
| | Description of assessment only pathways | ☐ |
| | Description of RPL in workplace context | ☐ |
| | Description of RPL in institutional context | ☐ |
| | Flow diagram of assessment pathways | ☐ |
| **2.** | **ASSESSOR QUALIFICATIONS AND TRAINING** | |
| Assessor Qualifications | Description of assessor qualifications | ☐ |
| Using Qualified Assessors | Ways of meeting requirement to use qualified assessors | ☐ |
| **3.** | **GUIDELINES FOR DESIGNING ASSESSMENT MATERIALS** | |
| Guidelines for Designing Assessment Materials | Guidelines for designing assessment materials | ☐ |
| **4.** | **GUIDELINES FOR CONDUCTING ASSESSMENTS** | |
| Guidelines for Conducting Assessments | Processes for conducting assessments in institutional contexts | ☐ |
| | Processes for conducting assessments in workplace contexts | ☐ |
| **5.** | **SOURCES OF INFORMATION ON ASSESSMENT** | |
| Sources of Information on Assessment | Assessment resource list | ☐ |

**KEY:** Y = Yes N = No I = Incomplete N/A = Not Applicable

***Note:** This checklist is primarily for the use of Training Package developers but is also a basis for the structure and detailed submission of Training Packages for endorsement.



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# Qualifications

TRAINING PACKAGE

NON-ENDORSED

| LEARNING STRATEGY | ASSESSMENT RESOURCES | PROFESSIONAL DEVELOPMENT MATERIALS |
|---|---|---|

## DESCRIPTION

The third element in the endorsement process is the identification of national qualifications created by the packaging of groups of competencies within a Training Package. National qualifications are defined in accordance with the AQF which provides a single, coherent framework for all recognised qualifications from Senior Secondary Certificate to PhD. Within the VET sector the following nationally recognised qualifications may be issued:

Certificate I
Certificate II
Certificate III
Certificate IV
Diploma
Advanced Diploma

Under the AQF, qualifications issued in the VET sector must lead to the achievement of a package of competencies. Where there is a Training Package the outcomes must be consistent with the competency standards and qualification specifications in the Training Package, involve the application of the assessment guidelines of that Training Package, and lead to the achievement of that package of competencies. Where there is not yet a Training Package, but there are endorsed national competencies, the AQF further requires that any qualification issued must lead to the achievement of these competencies.

Qualifications show that an individual has achieved a particular set of outcomes that relate to relevant workplace requirements expressed as competencies. This involves the acquisition of individual competencies that include skills, underpinning knowledge and their application.

There are other qualifications (Graduate Certificate, Graduate Diploma) within the AQF which are awarded in the VET sector, but these qualifications do not have descriptors that relate to competencies.

The introduction of the ARF in January 1998 means that qualification structures in the VET sector will come about through three different approaches. These approaches relate to the means for devising and determining qualifications which will be recognised and which lead to certification within the AQF. The three approaches are:

1. **Training Package based qualifications.** These qualifications are developed by packaging national competency standards into combinations meaningful to the industry/enterprise and aligning these to an AQF level and recommended title. The Training Packages which include the qualifications, are endorsed by the NTFC.
2. **Qualifications made up of competencies drawn from different Training Packages, and/or groups of endorsed national competency standards.** Competencies are combined in such a way that the new qualification meets industry / enterprise needs not covered by existing Training Packages. Courses leading to these new qualifications are accredited by State / Territory Recognition Authorities or by Quality Endorsed RTOs delegated to self manage this function.

Training Packages will include advice on how certain units of competency may be combined. In developing new qualifications developers must follow this advice when they select competency units from a Training Package or set of competencies. This includes guidance on the:

- appropriate use of individual units including pre-requisite or co-requisite units
- minimum groupings of units to form the essential base to achieve a particular functional outcome (this may include core units)
- limits on the customisation of units
- underpinning knowledge and skills.

In any Training Package there are units of competency which relate to key functions within the industry or enterprise covered. The Training Package will generally allow the use of such units in a qualification at an AQF level or a range of AQF levels. Such units should not generally be included in a new qualification at a lower AQF level. In addition, the title of the new qualification must meet the requirements of the *AQF Implementation Handbook* and new qualification developers wishing to use an industry descriptor in the qualification title must consult with the relevant industry.

Qualifications developed outside Training Packages must not duplicate qualifications contained in Training Packages. RTOs and / or State / Territory Recognition Authorities will need to be satisfied that the qualification proposed cannot be achieved by the customisation and flexibility offered within a Training Package or by the issuance of a Training Package qualification together with an additional Statement of Attainment.

3. **Course based qualifications.** These qualifications are developed *where it has been established that no relevant Training Packages exists,* but where a training need has been identified. These qualifications must be based on competencies. Courses leading to these qualifications are accredited by State/Territory Recognition Authorities, or their delegates, which may be Quality Endorsed RTOs.

The qualifications arising from Training Packages comprise particular combinations of endorsed competencies which are meaningful in the industry or enterprise context, and their packaging against AQF qualifications. Training Packages may include a range of qualifications from across these levels. including more than one qualification at a particular level where this is necessary to accommodate the needs of different industry streams or sectors, or to support multiple entry and exit points. Each qualification within a Training Package will be recognisable by a national title. The titling will be recommended by the Training Package developer and confirmed by the NTFC.

Training Package developers should package the standards, following the guidelines provided in the Standards Best Practice Manual. The standards can then be aligned to AQF levels, using the guidance provided in the *Standards Best Practice Manual* and *AQF Implementation Handbook*, including titling guidance.

Qualifications within Training Packages consist of five elements:

1. Packaging
2. Alignment to the AQF
3. Titling
4. Customisation of Qualifications contained within the Training Package
5. New Apprenticeships.

INFORMATION

## 1. PACKAGING - PURPOSE

- The process of packaging competencies is an integral element in the determination and configuration of qualifications established within Training Packages. Packaging is critical in achieving flexibility which enables enterprises and individuals to select combinations of units of competency relevant to their training needs.
- Packaging involves providing a structure that groups units of competency together in combinations that are meaningful to industry in a workplace context.
- At the same time, packaging establishes boundaries around these combinations which reflect defined workplace outcomes meaningful to industry and which establish a coherent structure to the qualification.

## 2. PACKAGING - THE PROCESS AND GROUPING UNITS OF COMPETENCY

- Units are packaged into groups that represent whole jobs or key functions that are both flexible and meaningful in the workplace. Detailed packaging guidance is provided in the *Standards Best Practice Manual*.
- The structure of packaging can be defined in terms of inclusion of a common core, specialisations, pre-requisites and electives:
  - a common core defines a core of essential units which must be attained by any person to achieve the related AQF qualification
  - specialist units are competency units associated with particular industry specialisations; groupings of specialist units identify those of which one must be attained by any person to achieve the related AQF qualification
  - pre-requisite competencies are those which must be attained as a pre-requisite to the attainment of one or more other specified competency units
  - electives identify those competency units where their achievement is optional - to achieve the AQF qualification a certain number must be attained, either as the total requirement or to be achieved in addition to the core and/or specialist units.
- Common approaches to packaging can include a range of models:
  - a core only model
  - core and electives model
  - core and specialisation model
  - core, specialisation and/or electives model
  - an electives only model.
- The crux of any model adopted is that it must deliver the outcomes which reflect the industry's training needs. However, in relation to Training Package development, the use of a core only model is strongly discouraged as it makes the qualification inflexible, which undermines enterprise and training organisation flexibility.
- Training Package developers need, wherever possible, to identify a packaging structure which maximises the potential for choice through electives and options, within the boundaries agreed by the industry as essential for competent performance in a given area of work.
- For an employer to negotiate a suitable training program under the New Apprenticeship arrangements it is essential that there is a mix of core units of competency and specialisation and/or elective units, and possibly units from other Training Packages. This is to ensure that the training based on this program can meet the minimum industry outcome requirements that must be delivered by the employer and RTO and also the needs of the individual employer and apprentice/trainee.
- As a vehicle for extending choice and flexibility, developers should consider expanding the scope of the package of units by incorporating units from other industry competency standards. This would provide greater breadth to the package of units available and broader relevance to particular employers. This approach builds on current policy of incorporating cross-industry competencies, where appropriate.
- Where units are drawn from standards in other Training Packages, the relevant industry / enterprise will need to be consulted in relation to two factors. These are:
  - appropriate use of the individual units, including pre-requisites as covered in the earlier section on competency standards and their customisation, to ensure unit outcomes are equivalent
  - commonality of packaging approaches, depending on whether the industry incorporating the units wants the groupings of units to also be seen as equivalent. For example, if industry X has identified a particular grouping of competencies as forming an essential base to achieve a particular functional outcome and

industry Y sees some advantage in including that area of competence in its industry Training Package, then it will need to follow the guidance on packaging established by industry X.

- This information and other mapping of equivalence activity can significantly assist in articulation and credit transfer for individuals. If mapping of equivalence of units and qualifications between Training Packages is available, then it should be included in the Training Package documentation.

Further information on current packaging advice can be obtained from the *Standards Best Practice Manual.*

## 2. ALIGNMENT TO THE AQF

This establishes the relationship between the group of units identified through packaging and an appropriate qualification in the AQF.

Key features of this process are:

- Only the package of units is to be aligned - not the individual units.
- Only those levels that are relevant to the industry / enterprise need to be used, ie there is no requirement or expectation that units will be packaged to meet all levels of the AQF. Some industries may establish a qualification for each level in the Framework, others may have a need of only two or three qualification outcomes. The qualifications at any single level will normally have a common main title with stream or specialisation qualifiers for each discrete workplace outcome.
- Alignment constitutes an integral part of the development process, and it forms part of the standards development and packaging process. Qualifications in the AQF assume that as the level increases so does the complexity of skill and knowledge. This may be represented through factors such as increased breadth of functions, or a degree of specialisation and associated levels of autonomy and responsibility.
- The approach to alignment initially involves taking the group of units and considering them against the 'characteristics' section of the descriptor for each qualification in the AQF, as set out in the *AQF Implementation Handbook*. A 'best fit' to a qualification descriptor is then established. This can be clarified further by considering the 'distinguishing features' section in the descriptor.
- One issue that may arise is whether the group of competencies has sufficient scope, breadth and depth to be sufficient for the award of a qualification.
- If there are still problems in determining an appropriate qualification, then alignment can be carried out by following the matrix structure which groups the key characteristics of work into six separate characteristics and then aligning the package to each of these characteristics to establish a profile and subsequent 'best fit' to meet work arrangements within the industry / enterprise.

  The key characteristics identified in the matrix are:
  - autonomy
  - responsibility and accountability
  - complexity of skill and knowledge
  - contexts of application
  - choice and range of contingencies
  - discretion and judgement.

  This matrix and process for using it is set out in the *Standards Best Practice Manual.*

- This alignment only applies to the six qualifications with specific descriptors for the vocational sector. Where outcomes are identified at levels above six, the Advanced Diploma can still be used as the appropriate qualification in the vocational sector.

- After working through these steps it is necessary to ensure the proposed qualification is accepted within the industry or enterprise. This is done through a process of consultation, which is reported on as part of the endorsement process to the NTFC. The consultation on this aspect should be extended to involve State/Territory Recognition Authorities and appropriate RTOs.
- There is also a need to evaluate the level against other appropriate qualifications which during the transition period will be other qualifications which have been endorsed or accredited at the same level. Training Package developers should consider three or four qualifications which provide the same proposed qualification level outcome. The evaluation should cover how the proposed qualification relates in terms of:
  - identified purpose and scope
  - range and content of competencies
  - underpinning knowledge
  - general breadth/depth
  - other relevant characteristics, such as levels of responsibility, decision making and accountability.
- While the process is not exact and may even pick up anomalies between the existing recognised qualifications chosen for validation, it will assist in identifying whether the proposed qualification is within the range of qualifications at this level.
- Where significant differences are identified, the Training Package developer may need to consider the proposed qualification outcome and/or enhance the structure by creating more breadth/depth.
- Finally, the NTFC has established an independent process, as part of the development and evaluation of Training Packages, through which the consistency of alignment of qualifications coming before it may be reviewed.

## 3. TITLING

- A key part of the endorsement process is that each qualification identified within a Training Package must provide a recommended title. That title will be applied by all users of the Training Package. The format for identifying AQF titles is set out in the *AQF Implementation Handbook*. Training Package developers are advised to follow this agreed format which identifies:

  **Qualification Title** followed by the word 'in' or 'of' and the **Industry Descriptor** followed by **occupation / functional stream** - in brackets

  eg Certificate III in Rural Agriculture (Grain Production)
  Certificate IV in Metals and Engineering (Fabrication)
  Diploma of Business (Administration).
- The level of consistency required nationally in the format for titling is restricted to the name of the qualification being indicated first, followed by the word 'in' (for Certificates I - IV) or 'of' (for Diploma and Advanced Diploma) followed by the title. In the case of a general category and a more specific category the title should be written as the example below:

  Certificate III in General Category (specific if required).

## 4. QUALIFICATIONS AND PATHWAYS

- The AQF Guidelines state that qualifications will be achieved by a variety of pathways and delivery options. Likewise, in the process of devising qualifications from the Training Package it is not appropriate to limit qualifications to particular pathways.

- In developing particular packaging arrangements for specific qualifications, the developer clearly maps the specific relationship between the qualifications in the Training Package. It is important for all parties in the industry to identify career and employment opportunities, obtain recognition within other industry sectors and articulation arrangements between the qualifications within the Training Package and with qualifications from other Training Packages.
- Certain pathways, however, have had significance in particular industries. Traditionally, apprenticeships have been the main pathway of some industry sectors. With the introduction of New Apprenticeships it is envisaged that they would become a central pathway across a much broader spectrum of industries. The qualification structures identified in Training Packages provide the basis for defining the content of such arrangements by establishing the competencies which will need to be achieved.
- Industries will adopt different models and arrangements. Some may choose to clearly separate the packaging and combination of competencies for different qualifications. Others may build nested qualifications which incorporate pre-requisites into higher level qualifications. Using qualifications that nest into each other requires considerable care to make the relationships clear. However, there is a danger if nesting is across an excessive number of levels. For example, the idea that all units in Certificate I are required at Diploma level through nesting in any industry would be questionable.
- Industries may also choose to include more than one qualification at a particular AQF level. These will be distinguished through their different titles.

## 5. CUSTOMISATION OF QUALIFICATIONS CONTAINED WITHIN THE TRAINING PACKAGE

The industry organisation responsible for submitting the Training Package for endorsement needs to provide advice as part of the Package on customisation arrangements for its industry, including the boundaries of flexibility in packaging and alignment of groups of units of competency against AQF qualifications. This advice will be based on wide consultation with enterprises during the development of the Training Package to determine the demand for and best ways of accommodating customisation for that particular industry. Further information in relation to this customisation advice is included in the Competency Standards Section of these Guidelines (Section B, Endorsed Components).

Advice on customisation needs to be clear and comprehensive, and show the minimum requirements in terms of units of competency for the award of a qualification. Through customisation there should be some capacity to add additional units to qualifications where this is consistency with the AQF level outcome. This should not be open-ended as it may have resource implications and creates unclear expectations for students and employees.

Customisation advice may also contain detailed advice on approaches to doing this, setting out things like typical patterns if the packaging is very flexible, or advice on contextualising for enterprise usage. This information in conjunction with the development of Model Training Programs in the non-endorsed components of a Training Package can assist in the structuring of training programs as part of training agreements under New Apprenticeships, plus generally assist in the organisation of training.

It is important that customisation advice within a Training Package should

set out the industry view on the boundaries of change within the qualification(s) so that it is clear at what point the level of change would require/result in a new qualification.

## 6. APPRENTICESHIPS AND TRAINEESHIPS

Apprenticeships and traineeships now represent one pathway, that of paid employment and structured training, available for the achievement of all qualifications.

- To support the introduction of New Apprenticeships, it is a requirement that developers provide advice on apprenticeship and traineeship pathways for all of the qualifications identified in the Training Package. If there are reasons why the qualification is not suitable to be achieved through contracted training, then this should be set out. Use of New Apprenticeship arrangements would not preclude alternative pathways to such qualifications also being developed and utilised. Diversity of pathways is one of the features Training Packages are intended to develop.
- Training agreements for New Apprenticeships are required to include a training program for the apprentice or trainee. Where there is a Training Package it will have defined the qualification that is being achieved through the New Apprenticeship arrangements, and it is expected that the training agreement and training program will reflect the Package content.
- Training programs are not endorsed, but they are linked to the endorsed components as they present a structured approach to the development and attainment of competencies for a particular AQF qualification. It includes the choice of units or options within the Training Package and the method, training and location for achieving the competencies. Under New Apprenticeships, training programs are negotiated between RTOs on the one hand and employers and individuals on the other. They reflect choices made by clients, but there is also an expectation that many users will want to select an established 'off-the-shelf' training program rather than engage in extensive customisation.
- It may be appropriate to consider the structure of a model training program or programs at the same time as the packaging, alignment and advice on customisation for each qualification is being developed.
- This advice should also specify any distinct conditions that should be fulfilled in customising the packaging of competency standards and using the training programs in training agreements for New Apprenticeships. These conditions may include:
  - a recommended sequencing of the training to best achieve the necessary competencies as shown in the packaging for the qualification
  - detailing of all pre-requisite and co-requisite competencies required where this is not explicit in the unit Evidence Guides
  - necessary limitations on acceptable customisation of the competency unit packaging in terms of any alteration to the core and elective / optional structure
  - necessary limitations on acceptable customisation in regard to individual unit substitution (including from other Training Packages) in order to retain the portability of the outcomes
  - indication of any competencies where assessment of performance on-the-job may be necessary for the competency to be demonstrated adequately (if this is not explicit in the standards themselves)
  - guidance on a notional, average time for completion of a training program suitable for delivering the qualifications through a New

Apprenticeship pathway, for use in Training Agreements.

- Well designed and packaged standards should already have indicated clearly what underpinning skills and / or knowledge are required for each particular unit of competence. In addition, the Evidence Guides should specify where there are relationships with other units at the same or other levels - ie their pre-requisite or co-requisite status in attesting to competency. Where this is the case the necessity to specifically identify mandatory learning strategy inclusions if the pathway is an apprenticeship or traineeship should be minimal. The packaging of units of competency in a Training Package must be based on workplace requirements and not designed to correspond to a particular training program approach.
- Qualifications not appropriate for apprenticeships or traineeships should also be identified.
  - A potential rationale for recommending employment based contracted training as being inappropriate for a qualification is where certain packaging and qualifications identified in the Training Package, while legitimate in workplace terms, are considered too narrow in specialisation to achieve the portability expected of an apprenticeship or traineeship outcome.
  - It may be the case that some Certificate I outcomes are regarded as being appropriate for delivery in schools but will not, in themselves result in an outcome useable in the workplace. To these prevocational or preparatory outcomes needs to be added further competencies at the next level. In a sense these are pre-employment qualifications that still deliver industry relevant competencies.

## GLOSSARY

**Alignment**
The process of relating groups of competencies with a definable work outcome to an AQF level.

**Australian Qualifications Framework (AQF)**
A comprehensive, nationally consistent Framework incorporating all qualifications recognised in post compulsory education throughout Australia. The Framework identifies six levels with corresponding titles and guidelines in the VET sector.

**Packaging**
The process of grouping competencies into combinations which have meaning and purpose related to work functions and needs in an industry or enterprise.

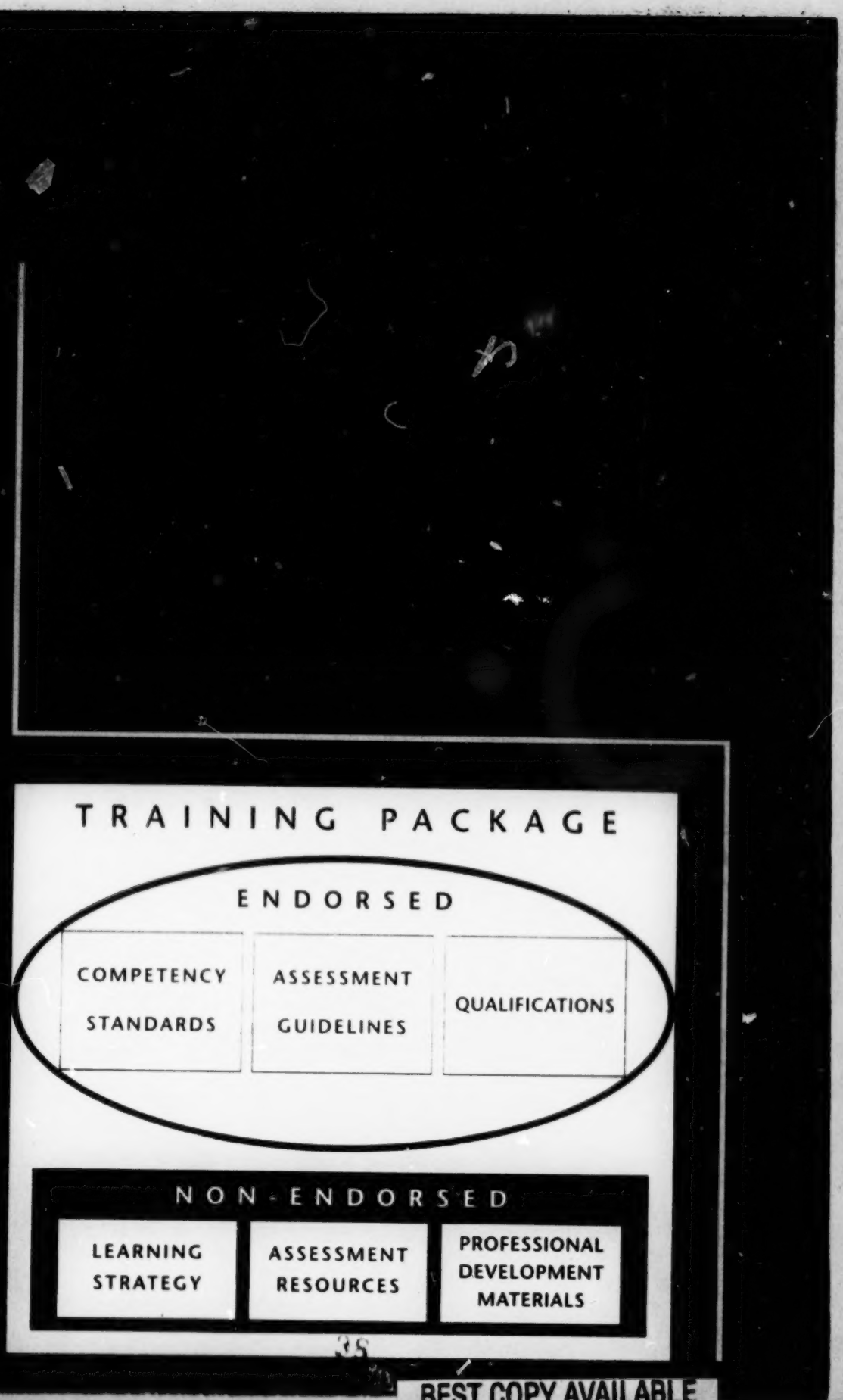
**Qualification**
Formal certification, issued by a relevant approved body, in recognition that a person has achieved learning outcomes (defined as competencies in the VET sector) relevant to identified individual, professional, industry or community needs.

**Training Program**
A structured approach to the development and attainment of competencies for a particular AQF qualification to meet the requirements of the endorsed components of Training Packages. It includes the choice of units or options within the Training Package and the method, training and location for achieving the competencies. In respect of apprenticeships and traineeships, training programs are negotiated between providers on the one hand and employers and individuals on the other, reflecting choice made by the clients.

| QUALIFICATIONS INTERIM SUMMARY* | | |
|---|---|---|
| **KEY FEATURE** | **INFORMATION INCLUDED IN QUALIFICATIONS GUIDELINES** | |
| 1. Packaging | Units of competency grouped to represent meaningful workplace outcomes relevant to the industry / enterprise | ☐ |
| 2. Alignment to AQF | Package of units aligned to appropriate AQF level | ☐ |
| 3. Titling | Qualification titled in accordance with agreed format | ☐ |
| 4. Qualifications and Pathways | Pathways and delivery approaches identified | ☐ |
| 5. Customisation of Qualifications Contained Within the Training Package | Consistent with Industry Advice and NTEC policy<br>Allowable levels of customisation detailed | ☐ |
| 6. New Apprenticeships | Pathways identified in the Training Package | ☐ |

KEY: Y = Yes N = No I = Incomplete

*Note. This checklist is primarily for the use of Training Package developers but is also a basis for the *structure and detailed submission of Training Packages for endorsement.



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## OVERVIEW

This section includes information in relation to the non-endorsed components of Training Packages. While these are not an essential part of a Training Package, they can provide valuable assistance to employers and RTOs in the delivery of related training and assessment.

Non-endorsed components should be closely integrated and consistent with the endorsed components of a Training Package and support the efficient use of training resources, broad and flexible career paths, transferability and portability, varied learning pathways and high quality training and assessment outcomes.

They should also promote access and equity considerations and adequately address relevant occupational health and safety requirements.

Further information in relation to the noting and recording of non-endorsed components and Training Packages is included in Section D.

Tendering processes relevant to the development of non-endorsed Training Package components are also included in Section D of these Guidelines.

# Learning Strategy

## DESCRIPTION

The Learning Strategy is the component of a Training Package which provides information on how training programs may be organised in workplaces and training institutions. The Learning Strategy complements the endorsed components of a Training Package by providing additional support for RTOs seeking to put together specific training programs to assist trainees attain the required competencies.

A training program is a structured approach to the development and attainment of competencies for a particular AQF qualification to meet the requirements of the endorsed components of Training Packages. It includes the choice of units or options within the Training Package and the method, training and location for achieving the competencies. In the case of New Apprenticeships, training programs are developed / negotiated between RTOs on the one hand and employers and trainees on the other, reflecting choices made by the clients.

New Apprenticeships involve the following elements:

- a negotiated training program responsive to client choice, that involves obtaining a nationally recognised qualification (meeting a specified package of endorsed standards) through paid work and structured training, which may be both on-the-job and off-the-job
- a registered training agreement, validated by the State/Territory Training Authority, between the employer and the apprentice or trainee which will facilitate the objectives of the training program and which protects the interests of both parties.

The Learning Strategy normally includes information relevant to the full range of qualifications encompassed within a Training Package and may incorporate the following broad categories of information:

1. Learning Pathways
2. Model Training Programs
3. Training Materials.

## INFORMATION

### 1. LEARNING PATHWAYS

The Learning Strategy may identify and provide guidance on learning pathways to assist in the development of specific training programs. These may reflect various combinations of structured learning undertaken and experience gained at school, in a training organisation or in the workplace, either full-time or part-time. Recognition of Prior Learning and competencies previously attained should also be available in conjunction with all learning pathways.

New Apprenticeships are a particular pathway that all Training Packages should seek to incorporate in most Training Package qualifications [refer Section B: *Endorsed Components - Qualifications*: Section 5]. These will involve the attainment of competency through various combinations of workplace experience and structured learning.

In recommending particular pathways, a range of factors should be considered including:

- how to develop the underpinning knowledge and skills integral to the achievement of competency units
- work experience requirements, including those associated with employment-based contracts
- any requirement for practical experience to develop particular competencies

- access and equity issues including the geographical spread of potential trainees and employers as well as typical industry work patterns
- the industry's assessment approach, including assessment requirements identified in the competency standards and how these can best be linked to training
- the industry's capability to undertake structured training at the workplace and the availability of appropriate support personnel
- the cost and availability of equipment required to support training
- the availability of appropriate training materials and the cost of developing new materials to support the various pathways
- how to integrate training delivery options to meet enterprise requirements
- previous trainee experience or other particular learning requirements
- the overall cost-effectiveness of different pathways for industry, trainees and those funding the training.

### 2. MODEL TRAINING PROGRAMS

Model Training Programs provide industry guidance on recommended training approaches for a particular qualification within a Training Package, they assist RTOs develop a specific training program. Model Training Programs relate to the attainment of relevant competencies and will replace the information currently included in a curriculum document, while introducing greater flexibility.

There is no template to support the development of Model Training Programs, since the format and range of material included will vary according to the training pathway and the needs of the particular industry. However, sufficient information should be provided to assist RTOs wishing to use Model Training Programs as an 'off-the-shelf' product. This could include:

- recommendations in relation to structured off-the-job and on-the-job training requirements
- additional workplace experience requirements, although care should be taken not to unnecessarily lock out those without access to employment opportunities
- particular industry-specific equipment or trainer requirements, as well as advice on the likely additional support necessary for trainees with literacy or numeracy difficulties
- advice on the likely nominal duration of a training program for an 'average' trainee to attain competency.

### USE OF MODEL TRAINING PROGRAMS

While Model Training Programs will be designed so that they can be used 'off-the-shelf', there is scope for flexibility in relation to what is delivered in the training program, where it is delivered, the mode of delivery and who delivers it. Ultimately the approach adopted for a particular training program will be the responsibility of the RTO, in conjunction with the employer or trainee. Where Model Training Programs are included in a Learning Strategy, RTOs can:

- adopt one or more recommended Model Training Programs
- adapt a Model Training Program to meet enterprise requirements by:
  - identifying the particular set of competencies to be attained by the trainee from among any stream and / or elective competency units incorporated into the packaging for that particular qualification
  - identifying the specific training delivery arrangements including location, timing and sequencing;
  - modifying or developing additional training materials to assist local / enterprise application

- develop an alternative training program, provided it is consistent with the endorsed components of the Training Package and delivers the necessary competencies.

**The level of detail provided in a Model Training Program is particularly important where it may be used as the basis for a training program for employment-based contracted training.** Where such training is undertaken under the provisions of the Workplace Relations Act, it will be necessary for an Approving Authority, as identified under that Act, to make a judgement on the proportions of productive and non-productive work required for an 'average' trainee to attain the necessary competencies over the course of the training period. It is envisaged that such a judgement could be made 'in advance' for Model Training Programs, based on the detail provided in the Training Package Learning Strategy.

Industries may choose to include more than one Model Training Program for each of the qualifications identified in the Training Package. This may be useful where there are several recommended learning pathways associated with that qualification. For instance, a Model Training Program designed in conjunction with a school program may vary from one designed for use primarily on-the-job in the workplace.

To assist parties to training agreements who wish to use established learning strategies and materials, the Model Training Programs should be identified in the Training Package by a clear title or identifier which can be referred to in training agreements and other forms.

## MODEL TRAINING PROGRAM INFORMATION

Model Training Programs may include such information as:

- an outline of the relevant *qualification requirements*, including options in relation to the packaging of competency units, as per the endorsed components of the Training Package
  - the particular set of competencies to be achieved by an individual trainee would need to be identified by the RTO at the time of development of the specific training program
- *training plans* to support the recommended qualification pathways which may include:
  - a set of training modules designed to deliver the full range of required competencies, with advice on core / stream / elective modules and the sequencing or clustering of modules; or information on how to develop a more loosely structured training program based on individual needs; or information on how to structure training around work activities or by utilising specific training materials; or various combinations of these
  - specific practical experience requirements; specialised facilities and equipment requirements; licensing and regulatory training requirements; specific occupational health and safety training requirements; and delivery advice relevant to particular client groups
- an *assessment strategy* based on and consistent with the industry's endorsed Assessment Guidelines, including both formative and summative assessment
- a list of *training materials* appropriate to the recommended training pathway and structure. These could include such materials as trainer guides, flexible delivery learning materials and guidance for workplace mentors, which would usually be included in the Training Package as part of the Learning Strategy.

In determining the format and information included in a Model

Training Program, Training Package developers should identify the industry's preferred learning pathways, available modes of delivery and the extent of training structure required. Whether the approach suggested in a Model Training Program is adopted will ultimately be subject to the outcome of negotiations between RTOs and trainees or in the case of New Apprenticeships, between RTOs, employers, and trainees under User Choice arrangements.

## RANGE OF APPROACHES

There is a range of approaches which can be adopted in developing Model Training Programs.

### (i) Training Program based on Modules

One approach to the development of a Model Training Program is through the development of a specified training program based on modules, somewhat similar to the current curriculum approach but broadened to fully encompass competency standards and to support maximum flexibility. Such a training program based on modules might include specific outcomes, a pre-determined module structure, sequence and pre-requisite advice, as well as a delivery strategy, assessment strategy and, possibly, specific teaching / assessment materials.

This approach could be suitable for industries where there is a need for the development of an extensive body of knowledge and underpinning skills to support the practical development of competencies. This would apply, for instance, to many apprenticeships and traineeships or where there are regulatory or licensing requirements that have traditionally been fulfilled through completion of a nationally consistent program of learning and experience. Within this type of training program, flexibility to accommodate the range of requirements across an industry can be introduced by:

- incorporating alternative streams or elective modules
- providing a range of flexible delivery materials to support particular modules or as a substitute for one or more modules
- designing training or work-based projects to allow trainees to demonstrate knowledge and skills across a number of related areas or modules
- developing the modular structure around broad areas of content and outcomes, but providing greater flexibility for the trainer to decide the grouping of training content, delivery methods, training materials and assessment approaches to meet trainee or enterprise needs
- incorporating an assessment of skills already acquired and modifying the training program to meet an individual's outstanding needs and particular work contexts.

Since the competency unit will form the basis for portability across different qualification pathways and between qualifications, a modular training program should relate directly to the competency standards and tie assessment to the demonstration of competencies. The following points should be considered in this process:

- The use of the competency unit may tend to support the development of one-to-one matchings of training modules and competency units. This approach has been adopted by some industries, particularly in association with less structured training approaches, but may not be the most efficient approach.
- An alternative is to develop the broad underpinning knowledge and skills which apply across a range of competency units at an early stage

in a training program. This can be supported by progressive specialisation throughout the training program to address particular competency units. The assessment of underpinning knowledge and skills throughout a training program will need to be tied closely to competency outcomes.

- Further developmental work is required on the best ways to link modular training with the delivery and assessment of a range of competency units. In the short-term, where extensive training materials already exist which do not deliver competency outcomes, some industries may choose to develop additional material to bridge the gap between module learning outcomes in an existing curriculum and competency unit requirements. This will allow for the assessment of competencies, in addition to underpinning knowledge and skills. However, since many of these materials have been developed primarily for institutional pathways, this approach is unlikely to be readily transferred to workplace-based or other learning pathways and has the potential to create confusion for trainers and employers.
- Additional information on best practice approaches to the integration of modules and competency units will be included in future advice on training materials.

Where an RTO seeks to develop a training program based on modules, it is important that there be close co-ordination between the off and on-the-job training, with clear agreement on respective roles and responsibilities. Both employers and RTOs should be involved in negotiating the specific training program, including such aspects as the sequence of training, off-the-job release, use of training resources and assessment arrangements.

### (ii) Training Program Based on Regular Work Activities

With this approach, the training program closely defines the competencies to be achieved and suggests ways in which the underpinning skills and knowledge can be developed and applied so that the competencies can be achieved, based on the pattern of regular work activity. Further structure can be introduced through planned work rotations and the use of flexible delivery learning materials or specific projects at appropriate points throughout the training program to develop related knowledge and skills. There may also be scope for incorporating off-the-job training at appropriate times.

This type of Model Training Program will not be as clearly specified as a modular training program. It may, for instance, take the form of advice for supervisors and mentors on how to develop training opportunities around work activities, together with a delivery strategy and information on how to link these to the assessment of competencies. The Program may also include support materials for trainees and additional background material for employers. The Front-Line Management Initiative represents one example of this type of training program.

This approach will frequently suit the needs of larger enterprises and those which are geographically isolated, provided the enterprise is sufficiently well resourced to undertake the necessary planning, co-ordination and trainee support or can work with an RTO to put these in place. However, it may not suit smaller enterprises which do not have the resources to structure and supervise the training or non-employment-based training situations.

### (iii) Training Program Based on Self-Study Materials

A third type of Model Training Program is based on a self-study approach, utilising various flexible delivery materials such as distance-learning materials. In this case, the training program will provide a range of resources which can be accessed by the trainee at their own pace, possibly in conjunction with work experience, with the broad objective of attaining competence across the range of specified competencies on conclusion of the program. The flexible delivery materials will therefore need to be closely related to identified competencies. This approach is distinguished from the previous programs in that there is no set modular structure or planned organisation of the training, although the training may still be supervised by a workplace supervisor or other mentor. As with the other approaches, information will also need to be provided on the assessment strategy to be adopted in determining competencies attained.

In addition to flexible delivery materials, trainees may develop competencies through a range of on-the-job activities, eg through working closely with an experienced supervisor or colleague, seeking different or wider work experience, identifying a mentor, attending meetings as an observer, seeking feedback on work performance or through other means eg networking, reading and other self-study activity, visits, non-work experience and voluntary activities

### (iv) Training Program based on a combination of approaches

Many training programs will combine elements of the above three types, to suit the particular industry or trainee circumstances. In the case of many apprenticeships and traineeships, for instance, it is likely that some form of modular training program will be retained, but that opportunities for the structured reinforcement of skills on-the-job will be provided, together with access to appropriate flexible delivery training materials. Where a particular combination of these activities is applicable across an industry, this may be developed as a specific Model Training Program in its own right.

Similarly, where a number of Model Training Programs are identified for a particular qualification, it is unlikely that the one training approach or set of modular materials will be able to meet all requirements. It is possible, for example, that an industry may seek to develop a range of training approaches as outlined above.

## TRANSITION ARRANGEMENTS

During the transition to Training Packages, many existing materials will need to be reviewed to ensure that they meet Training Package requirements and adequately support the range of qualification pathways identified by the industry.

Structured training material must be clearly based on identified competency standards and allow for progressive assessment against those competencies. This will require a close matching of existing training modules against Training Package competency standards to assist workplace assessors and identify any gaps. Gaps may be addressed in several ways by Training Package developers, including:

- incorporation of additional practical work into the existing modular off-the-job training structure, through practical exercises or projects, on-the-job work experience or simulated work experience

- re-structuring and expansion of the modular training structure so that the module outcomes are more closely related to competency standards
- development of guidance material to assist supervisors and employers in the structured development of competencies in the workplace, to supplement formal off-the-job training.

### 3. TRAINING MATERIALS

Learning Strategies may also incorporate a range of **training materials** designed for use by trainers, teachers, trainees, supervisors or mentors in support of training programs.

These might include:

- a trainer guide
- a trainee or self-study guide
- flexible delivery learning materials, including distance-learning
- a trainee work book
- a training record book
- guidance for workplace mentors.

The focus on a wider range of qualification pathways, including workplace-based training, as well as the assessment of competencies will increase the demand for flexible training materials to support trainers, assessors and trainees.

Training materials should have a clear relationship to the Training Package competencies and indicate their relevance to particular learning pathways.

There is a range of materials in the public domain which could readily be adapted for inclusion in the Learning Strategy of Training Packages. However some of these materials have been designed for use in an institutional training pathway and are not directly related to the industry's competency standards. Furthermore, they have often been developed as isolated products and may be difficult to integrate with other existing materials.

No specific format is recommended for training materials in Training Packages, since this will necessarily vary according to the circumstances of the industry and the intended use of the products. However, where training materials are provided as part of the Learning Strategy, they should be developed to apply across as many qualification pathways as possible.

The Learning Strategy may also include materials designed to provide guidance on the development of training programs to meet the needs of particular client groups in achieving qualifications through Training Packages.

Particular care will be necessary in the development of any learning materials to ensure that the language and format used is appropriate to the target audience.

# Assessment Resources

DESCRIPTION

Assessment Resources are evidence gathering tools and other information provided to assist RTOs and workplaces to develop consistent and effective approaches to conducting assessments in a wide range of contexts, and in accordance with the ARF.

There is no set format for this component of Training Packages. However, the following items could be included:

- a statement describing the scope of the assessment resources
- actual assessment resources.

INFORMATION

This information is designed to assist organisations develop Assessment Resources. It is to be read in conjunction with, and is designed to complement, the Assessment Guidelines component of Training Packages. The Assessment Guidelines section includes information on the design of assessment resources based on competency standards.

## 1. A STATEMENT DESCRIBING THE SCOPE OF THE ASSESSMENT RESOURCES

Explanatory notes

- This section identifies what Assessment Resources are provided eg:
  - a set of assessment resources covering all units of competency in a Training Package
  - a bank of assessment resources from which assessors select the most appropriate resource
  - exemplar assessment resources which assessors use as models for developing specific assessment resources
  - some other arrangement endorsed by industry.
- This section may also provide information on the forms of assessment for which the resources may be useful, eg:
  - observation schedules
  - simulation activities
  - practical projects
  - demonstrations
  - individual projects
  - written / oral tests
  - portfolios.
- This section could incorporate a chart showing the relationship between the assessment resources and the units of competency included in the Training Package.
- This section should also detail how language, literacy and numeracy should be integrated into assessment practices relevant to the Package.

## 2. PRINT AND ELECTRONIC COPIES OF ASSESSMENT RESOURCES

Explanatory notes

This section may comprise print and electronic copies of the assessment resources. The number and format of assessment resources will vary from one industry to another.

- Assessment resources should be presented in a form that is suitable for reproduction and use in both on and off-the-job settings.
- Assessment resources may be designed in a variety of ways. However, assessment resources must be able to provide evidence that competency has been achieved.

Assessment resources are often designed around work functions and incorporate a number of evidence gathering techniques. For example, in order to assess a particular work function it may be

necessary to gather information on workplace performance through direct observation as well as gather supplementary evidence through a written or oral test. It is the integration of these different forms of evidence that provides the assessor with the evidence required to make a judgement on whether on not the individual is competent.

- There is no set format for documenting assessment resources. A possible format for documenting assessment resources follows:

| SECTION HEADING | DESCRIPTION |
|---|---|
| Title | Identifies title of assessment resource |
| Unit(s) of competence | Identifies unit(s) of competence that are the benchmarks for the assessment resource |
| Conditions for assessment | Identifies conditions under which assessment can be conducted based on information from 'range of variables statements' and 'evidence guides' in competency standards |
| Instructions for assessors | Informs the assessor about the scope of the assessment resource ie the assessment methods to be used and the conditions of assessment as well as the procedure to follow in preparing, conducting and reviewing the assessment |
| Direct observation checklist | Checklist for outcomes of observations of performance and other forms of evidence eg responses to questions, related directly to 'performance criteria' and evidence guides in competency standards |
| Other evidence gathering methods | Instructions for assessors on methods of gathering indirect and supplementary forms of evidence. This may include assessor guidelines and / or outlines of assessment tasks for:<br>• products or services produced by assessee<br>• third party reports<br>• individual / group projects<br>• written tests<br>• portfolios<br>• structured oral questioning<br>• test banks |
| Record of assessment outcomes | Identifies way in which outcomes of different evidence gathering techniques, incorporated in assessment resource, are recorded |
| Reference documentation | Identifies reference material required to support specific evidence gathering techniques. This may include:<br>• organisational policies and procedures<br>• manufacturers' instructions<br>• safety regulations<br>• product information<br>• legislation |

## 3. A DESCRIPTION OF ARRANGEMENTS FOR REVIEWING AND MAINTAINING ASSESSMENT RESOURCES

Explanatory notes

- A planned review and maintenance process should be established to ensure the validity and reliability of assessment resources.
- This review and maintenance process which may be incorporated in the broader review and maintenance of the assessment system, could include:
  - the connection between assessment resources and endorsed industry / enterprise competency standards

- the range of assessment methods - direct, indirect and supplementary evidence gathering techniques
- the application of assessment methods in diverse work and learning environments
- the effectiveness of the use of the assessment methods by diverse groups of assessors
- the appropriateness of the assessment methods for diverse groups of assessees
- the extent to which assessment methods are gender and culturally inclusive and take into account the language and literacy skills of both assessee and assessor
- feedback on effectiveness of assessment methods - outcomes of external audit processes, ease of use, validity, reliability, fairness, flexibility of assessment methods and cost effectiveness of assessment methods.

## 4. RECORDING ASSESSMENT OUTCOMES

**A description of the preferred arrangements for recording assessment outcomes.**

Explanatory notes

- Assessment systems must incorporate mechanisms for recording, storing and accessing assessment outcomes. Responsibility for this function rests with the RTO that issues the qualification under the AQF and must be consistent with the ARF.
- This section describes the outcomes required from processes that are used to the record, store and access assessment outcomes in:
  - New Apprenticeships and Traineeships
  - workplace training programs
  - programs offered by RTOs in partnership with workplaces
  - other programs leading to national recognition.

## 5. REPORTING ASSESSMENT OUTCOMES

**A description of the system used for reporting assessment outcomes.**

Explanatory notes

- Statements of attainment and qualifications issued under the AQF and the ARF must indicate the units of competency attained and conform with any national nomenclature developed for reporting assessment outcomes.
- This section details the information to be included on:
  - qualifications under the AQF
  - statements of attainment under the AQF
  - any particular additional reporting requirements to be included in qualifications or statements of attainment.

  This information must conform with guidance provided by AQFAB in the *AQF Implementation Handbook*, (revised edition due in mid 1998).

## 6. APPEAL AND REASSESSMENT PROCESS

**A description of the appeal and reassessment process.**

Explanatory notes

- Assessment systems must incorporate an appeal and reassessment process.
- This section describes the preferred features of appeal and reassessment processes that will be used in assessments involving:

- apprenticeships and traineeships
- workplace training programs
- programs offered by RTOs in partnership with workplaces
- other programs leading to national recognition.

- This section may include a flow diagram of an appropriate appeal and reassessment process.

## 7. REVIEW AND MAINTENANCE OF ASSESSMENT SYSTEM

**A description of the arrangements for reviewing and maintaining the assessment system.**

Explanatory notes

- All assessment systems incorporate a planned review and maintenance process.
- This process, which may be incorporated in the broader review and maintenance of the Training Package, focuses on the:
  - reasons for establishing the assessment system eg national recognition, industrial classification, licensing, competency development
  - benchmarks for assessment, eg endorsed industry / enterprise competency standards
  - ways in which assessment evidence is gathered eg assessment methods, assessment checklists
  - effectiveness of the assessment system eg outcomes of external audit processes, validity, reliability, fairness, flexibility of assessment processes, cost effectiveness of assessment process, adequacy of the quality assurance framework, extent of partnership arrangements.

## 8. ASSESSOR TRAINING

**A set of criteria to determine the relevance of assessor training programs.**

Explanatory notes

- This section includes a set of criteria to assist employers, employees and RTOs to evaluate the suitability of specific assessor training programs. These criteria may include:
  - relevance to assessor competency standards
  - relevance to industry competency standards
  - program delivery including flexible delivery options
  - program duration
  - program cost
  - national recognition of the program
  - scope of training organisation registration
  - industry profile of the RTO.
- A list of assessor training programs that conform with the industry or industry sector criteria are included in the section on *Sources of Information on Assessment*, which is in the *Assessment Guidelines*.

## 9. ASSESSOR REGISTRATION

**If applicable, a description of an assessor registration scheme established within the industry or industry sector.**

Explanatory notes

- Assessor registration schemes may not be made mandatory under the ARF and normally it cannot be made a requirement that a person conducting assessment on behalf of an RTO be registered with a scheme.
- There is no requirement to establish an assessor registration scheme. However, where the

industry elects to do so, the details of the scheme should be included in this section. Such a scheme may also prove valuable to RTOs seeking partnerships with workplaces, or organisations preparing applications to become RTOs. The description may include:

- eligibility requirements including renewal / maintenance of registration
- fees and charges if applicable
- responsibility and management of the register
- access to the register
- approved uses of information on the register
- maintenance of the register; and
- funding of the register.

## 10. PROFESSIONAL DEVELOPMENT FOR ASSESSORS

Guidelines for determining and maintaining the currency of assessor qualifications and a strategy for assisting the professional development of assessors.

Explanatory notes

- Industries or industry sectors may wish to establish guidelines for determining and maintaining the currency of assessor qualifications. Such guidelines may include:
  - assessor training
  - number and frequency of assessments conducted
  - participation in professional development.
- Industries or industry sectors may establish a strategy for promoting the professional development of assessors. Emphasis should be placed on cost effective strategies to be managed by the industry or industry sector. Possible strategies include:
  - assessor networks
  - newsletters
  - in service training programs
  - mentor arrangements.

# Professional Development Materials

## DESCRIPTION

Professional Development Materials are included as a non-endorsed component of a Training Package and are integral to the development and effective implementation of related training programs. They are particularly important given the broader range of trainers now involved in vocational training and the implementation of New Apprenticeships.

In the Training Package context, professional development materials may include:

- *information for trainers on Training Package components* and how these might be used to develop training programs for an industry, industry sector or enterprise
- *professional development resource materials* for use in conjunction with endorsed and non-endorsed Training Package components, including Model Training Programs identified in the Learning Strategy
- *reference to other related professional development materials* which could supplement industry-specific materials included in the Training Package and other professional development activities.

## INFORMATION

The type of professional development materials included in a Training Package will vary according to such factors as the:

- levels of qualifications
- learning pathways, including New Apprenticeships
- way in which training programs are structured
- varying roles and backgrounds of those involved in the training
- degree of change from previous approaches to training
- availability of broader professional development support
- general understanding of competency-based training within the industry and of the role of Training Packages.

With the expansion of learning pathways, many more people in the workplace, schools and in the general community will be involved in the delivery and assessment of vocational training. Many of these people will be using Training Packages for the first time and will need guidance on their role, Training Package usage and the differences from previous approaches. The range of people seeking guidance could include trainers, teachers, employers, supervisors, mentors, assessors and trainees.

Training personnel will require a wide range of delivery and assessor skills to support the various learning pathways and training approaches available in the Training Packages. This is in addition to the skills required of RTOs in negotiating the development and implementation of specific training programs.

There are a range of approaches which may be adopted in relation to the various types of professional development materials included in a Training Package.

### 1. INFORMATION ON TRAINING PACKAGE COMPONENTS

- Types of information which could be included with a Training Package are:
  - background information on the NTF and the role of Training Packages in vocational training
  - explanation of the relationship between model training programs and New Apprenticeships
  - information on how to interpret and apply competency standards and Assessment Guidelines in the workplace

- information on how to develop a training program
- a summary of the various materials included in a Training Package and how they interrelate, eg how to move between competency standards, training materials, logbooks and assessment materials.

- This information will be in addition to general materials developed to explain the role of Training Packages and their use in the New Apprenticeship system. It should be written in an appropriate style for the intended users and be related specifically to the circumstances of the particular industry for which the Training Package has been developed.

## 2. PROFESSIONAL DEVELOPMENT RESOURCE MATERIALS

- The development of industry-specific professional development resource materials will aid the smooth implementation of Training Packages and support other materials included with the Package, such as specific learning materials in a Learning Strategy.
- The types of materials which could be included in a Training Package include:
  - introductory workshop material, developed to explain particular learning pathways including New Apprenticeships as well as approaches to training and assessment
  - guidance on the development of learning activities based on regular work activities, including examples of approaches which could be adopted
  - guidance on the co-ordination of off-the-job and on-the-job training
  - materials to assist users confidently implement and advise on industry customisation policy
  - support for those seeking to use distance-learning materials or other types of flexible delivery materials or training approaches
  - trainer, supervisor and mentor guides
  - assessor / Recognition of Prior Learning (RPL) guides
  - information to support specific recommended teaching methodologies
  - industry-specific assessor training workshop materials.
- These materials should be designed for flexible delivery wherever possible.
- Particular care should also be taken to ensure that the language and format used is appropriate to the target audience.

## 3. REFERENCE TO OTHER RELATED PROFESSIONAL DEVELOPMENT MATERIALS

- The range of skills required of training personnel now encompasses such areas as:
  - the management of the training function, including the negotiation and development of training programs with employers, planning and quality assurance
  - industry liaison, including marketing, liaison with industry, networking
  - training delivery / facilitation skills, including the use of flexible delivery in competency-based training, approaches to workplace-based training and information on working with particular client groups
  - the design of training resource materials, including the use of new technologies to support learning
  - the assessment of competencies, including the Recognition of Prior Learning.
- A Training Package could usefully include a reference list of relevant

materials and resources developed in relation to these broad areas of professional development which will supplement industry-specific materials included in the Training Package and other professional development activities. These would normally have been evaluated as to their relevance and usefulness prior to their incorporation in this section.

- A list of some recent examples of broad professional development materials is included. Although these have not been developed in the context of Training Packages, they may be a useful starting point for Training Package developers. All the material is available through ACTRAC Products Limited (Level 5, 321 Exhibition Street, Melbourne), unless otherwise indicated.

## Management of the Training Function

National Staff Development Committee 1995 *Management Enhancement Team Approach (META) for VET Organisations* National Staff Development Committee, ANTA, Melbourne.

## Training Delivery / Facilitation

National Staff Development Committee 1994 *Developing Competency-Based Curriculum for Adult Literacy and Basic Education*, National Staff Development Committee, Melbourne.*

National Staff Development Committee 1996 *Case Studies of Action Learning Groups Volume 3: Flexible Delivery* National Staff Development Committee, ANTA, Melbourne

National Staff Development Committee 1996 *Case Studies of Action Learning Groups Volume 4: Workplace Competencies and CBT Implementation* National Staff Development Committee, ANTA, Melbourne.

National Staff Development Committee 1994 *ResponseAbility-People with Disabilities: Skilling Staff in Vocational Education, Training and Employment Sectors* National Staff Development Committee, Melbourne.**

National Staff Development Committee 1995 *Gender Inclusive Training - Module* National Staff Development Committee, Melbourne.

National Staff Development Committee 1995 *Gender Inclusive Training Kit- Boxed Kit* National Staff Development Committee, Melbourne.

## Design of Resource Materials

Australian Committee for Training Curriculum 1995 *Gender Inclusive Guidelines for Curriculum Designers and Writers*, ACTRAC Products Ltd, Melbourne.

Courtenay, M, Mawer G, 1995 *Integrating English Language, Literacy and Numeracy into Vocational Education and Training: A Framework*, Department of Employment Education, Training and Youth Affairs, Adult Literacy Information Office, Sydney.

Department of Employment, Education and Youth Affairs 1997 *Integrating Key Competencies. Vols. 1-6*, The Office of Training and Further Education, Melbourne.***

Fitzpatrick, Lynne, Roberts, Anita 1997 *Workplace Communication in National Training Packages.*

*A Practical Guide*, Department of Employment Education, Training and Youth Affairs, Language Australia Publications.

National Staff Development Committee 1996 *Case Studies of Action Learning Groups Volume 2: Curriculum and Learning Resources Development* National Staff Development Committee, ANTA, Melbourne.

## Assessment of Competencies / Recognition of Prior Learning

Hagar, Paul, Athanasou, James; Gonczi, Andrew 1994 *Assessment Technical Manual* Department of Employment, Education and Training, J.S. McMillan, Sydney.

National Staff Development Committee 1995 *Case Studies of Action Learning Groups Volume 1: Assessment, Recognition, Evaluation* National Staff Development Committee, ANTA, Melbourne.

National Staff Development Committee 1996 *Research Report: Recognition of Prior Learning for Aboriginal and Torres Strait Islander Peoples* National Staff Development Committee, ANTA, Melbourne.**

Rumsey, David 1994 *Assessment Practical Guide* Department of Employment, Education and Training, J.S. McMillan, Sydney.

Toop, Leigh; Gibb, Jennifer; Worsnop, Percy 1994 *Assessment System Design* Department of Employment, Education and Training, J.S. McMillan, Sydney.

## Professional Development Techniques

National Staff Development Committee 1995 *An Introduction to Action Learning-Workbook: A Guide to Staff Development Activities* National Staff Development Committee, Melbourne.

National Staff Development Committee 1996 *A Guide to Mentoring: A Guide to Support the Work Based Learning in Action Scheme* National Staff Development Committee, ANTA, Melbourne.

TAFE National Staff Development Committee 1993 *Return to Industry* Reprinted 1995 National Staff Development Committee, Melbourne.**

* available through the Adult Basic Education Resource and Information Service
GPO Box 372F, Melbourne, VIC 3001, or Fax (03) 96294708.

** previously distributed through the National Staff Development Committee.

*** available through the Office of Training and Further Education, PO Box 266D, Melbourne, VIC 3001, or Fax (03) 96282044.

## ENDORSEMENT

### A. TRAINING PACKAGE COMPONENTS

1. Training Packages include endorsed components and may also include a range of non-endorsed components:
   a) Competency standards aligned with AQF qualification levels / recommended titles and industry Assessment Guidelines require **endorsement** by the NTFC.

   **and**

   b) Non-endorsed components, ie Learning Strategy, Assessment Materials, and Professional Development Materials, when included in a Training Package, can be **recorded** by the NTFC. This would be based on the industry recommendation and, where appropriate, evidence that the components have satisfactorily addressed contractual requirements.

### B. SUBMISSION DETAILS

1. Training Packages may be submitted for consideration by the NTFC at any time.
2. The submission documentation must as a minimum:
   - identify the scope of the Training Package, ie related industry coverage and levels
   - clearly identify the Training Package individual core components submitted for endorsement as well as the other components submitted for recording by the NTFC, to ensure that accurate information on the total Training Package can be included on the NTIS
   - put forward all endorsable components at the same time, with the provision that additional units of competency and/or qualifications may be put forward at a later date if required
   - attach a complete set of materials for the endorsed components of Training Packages and sufficient information to clearly identify the scope of non-endorsed components, where included in the Package. In respect of the non-endorsable components, samples of this material can be included in the submission and full sets made available to NTFC members on request
   - demonstrate that the endorsable components meet the endorsement criteria.
3. Submissions will be assessed by Australian National Training Authority (ANTA) officers against the relevant endorsement and quality criteria and the submission and Training Package materials forwarded to NTFC members and State and Territory Training Authority representatives for decision within twenty-one (21) days of dispatch. This may in certain circumstances be extended by a maximum of 10 days where this is deemed necessary to deal with outstanding queries on the submission.

**Note:**

i. Eighteen (18) copies of each submission and attachments are to be provided.

ii. Enterprise Packages submitted directly or through ITABs to be supplied with numbered copies of the Training Package and related documentation for distribution to the NTFC. A log of the recipient of each numbered copy will be maintained and non-State and Territory members required to



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return their copies after the endorsement process is completed. The log will reflect returned copies and those remaining with States and Territory Authorities for Ministerial agreement and recognition purposes. All enterprise related Training Packages will be forwarded to Committee Members, under separate cover to other material, in a sealed envelope marked 'Confidential', except where the enterprise agrees otherwise.

iii. ANTA officers will make a timely response to any queries from NTFC members on the submission after consultation and investigation with the submitting industry body or enterprise.

## C. ENDORSEMENT

1. NTFC members' affirmative responses in relation to a recommendation to endorse received within the twenty-one (21) day period (or its extension) is the normal requirement for an endorsement to proceed.
2. Where there is a negative response or further query from one or more NTFC members which is not resolved within the twenty-one (21) days or the period of extension, consideration of the endorsement of the Training Package will be held over to the next scheduled meeting of the NTFC for discussion and decision.
3. If endorsement is agreed, a covering letter detailing the endorsement decision will be forwarded to Ministers to complete the period required for possible objection. If no objections are received, the Training Package proponent is informed of the endorsement by letter from the responsible ANTA officer and the detail of the Training Package (both the endorsed and recorded components) is placed on the NTIS, other than in the case of a confidential enterprise Training Package for which full details will be recorded only within the ANTA office.

**Note:**

If it is decided that the Training Package is to be submitted for consideration to a NTFC Meeting rather than being dealt with out-of-session, 18 copies of the Training Package and submission documentation must be received at ANTA twenty-eight (28) days prior to the scheduled meeting. The same Ministerial period for objection then applies following the date of the meeting.

## TENDERING

### TENDERING PROCESSES FOR NON-ENDORSED COMPONENTS

Training Packages have up to six components that can be developed. The endorsed components which require endorsement by the NTFC of ANTA, are:

- Competency Standards
- Assessment Guidelines
- Qualifications and recommended titles.

These components can be directly developed by the ITAB or other bodies contracted by ANTA, or they can be contracted out.

The 'toolbox' or resources part of the package consisting of the components which are not endorsed by the NTFC contains:

- Learning Strategies
- Assessment Materials
- Professional Development Materials.



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Where bodies are funded by ANTA to develop these non-endorsed components, the contract with ANTA requires that such development be tendered out. The body contracted by ANTA acts as the managing agent for the development process for these components. These Tendering Processes for Non-Endorsed Components of Training Packages form part of the special conditions to the contract with bodies funded by ANTA to develop Training Packages. Failure to comply with them would be a breach of the contract with ANTA.

Tendering can be undertaken in a variety of ways to meet the particular circumstances of the ITAB and Training Package development project. The responsibility of an organisation contracted by ANTA to develop the components of a Training Package is to produce the outcomes and products agreed in the contract with ANTA while achieving value for money. This primarily involves quality, cost and timeliness. While the organisation can be flexible in its approach to tendering arrangements provided it does achieve value for money, *Commonwealth Procurement Guidelines* produced by the Department of Administrative Services provide a comprehensive guide to many aspects of best practice in tendering processes. These are available through Government book shops. ANTA also requires that the tendering process includes the following four principles and associated outcomes:

## Principle 1 - Clear Tender Specification

**Outcomes** - Tender documents that specify clearly:

- the desired outcome(s) and where appropriate, products of the project being tendered
- any particular processes that will be required such as consultation / validation with a particular range of organisations or people, quality control mechanisms, responsibilities to the managing agent (specified officer(s) in the ITAB) and to the reference group overseeing the project
- required timelines for production of products
- quality criteria to be applied to the outcomes
- reporting and auditing requirements to establish accountability
- intellectual property and copyright requirements in accordance with the contract with ANTA
- any provisions for non-performance.

## Principle 2 - Open and Effective Competition

**Outcomes** - Specifications and processes that ensure that:

- the tender is open and made public to a wide range of those that may be interested in tendering
  - This would involve at least one national newspaper advertisement;
- no organisations or groups are given any particular preference
- competition by potential contractors is maximised to achieve value for money, with factors being price, methodology, timeline, quality and quantity of outcomes / products
  - This would normally involve seeking to minimise cost while maximising quality and timeliness of outcomes. Methodology can have a major impact on these factors.
- in some circumstances where there is a limit on funds available but a large range of products to



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develop, value for money may be maximised by considering the quantity of product to be produced.

- any negotiation with tenderers is open, ethical and documented.
  - This could involve selecting a tenderer and then negotiating changes to the work to be done. This would need to be within reasonable constraints such that it was clear it was still the same project as advertised.
  - It could also involve negotiation with a range of non-selected tenderers to get some of them up to a level where a decision could be made.

## Principle 3 - Ethical and Transparent Process

**Outcomes** - Specifications and processes that ensure:

- tenderers are clearly informed of how their proposal will be treated;
- the industry reference group as specified in the contract with ANTA is the body that assesses proposals and decides on the successful tenderer noting that some aspects of the composition of reference groups will be specified in contracts with ANTA, including involving enterprises, State Training Authorities and providers
- conflict of interest is avoided, both in the reference group and in the tendering organisation. This involves:
  - having processes in place to deal with potential conflicts of interest, including considering any organisational and personal links reference group members and ITAB staff may have with tenderers and maintaining a record of those interests
  - ensuring the tenderer has declared any conflicts of interest and has processes to deal with conflict of interest in its internal operations.

## Principle 4 - Appropriately Structured Projects

**Outcomes** - Clear specification in contractual arrangements with the selected tenderer, of:

- stages of the project with clear associated performance indicators and products / outcomes
- cost of activity to be undertaken
- the schedule for payments
- personnel who will undertake the development work
- copyright requirements, including obtaining clearance for use of material where ownership is held by others
- consultation and validation processes within the tendered work
- quality criteria for products and quality assurance mechanisms for their development
- responsibilities to the industry reference group and to the designated managing agent.

## GUIDELINES FOR PRINTING AND FINAL REPRODUCTION

These guidelines provide a suggested checklist for the final presentation of endorsed and non-endorsed elements of Training Packages and is to be used in conjunction with:

- *Standards Best Practice Manual (current edition)*[1]
- *Guidelines for Print-on-Demand Publications (1997)*[2].

It is intended as a guide to ensure that in final presentation the Training Packages meet quality specifications and can be published in a format which will facilitate cost effective distribution to the VET sector.

It is also intended that by this means amendments can be made to the documents effectively and quickly in response to changes.

### THE STANDARD TEMPLATE

- Have you inserted a correct copyright statement as the verso page and indicated the copyright status of the document in the footer of each page (see Page 14 and Page 29, Appendix 1, *Guidelines for Print-on-Demand Publications*)
- Have you obtained in writing copyright clearances for the use of materials which are copyright to other organisations?
- Have you inserted headers and footers correctly as per the *Guidelines for Print-on-Demand Publications* (Page 13)
- Have you presented the hard copy and the accompanying electronic copy in 'mirror' layout for two sided copying ?
- Have you included in the header or footer of each page the unique Training Package code allocated ?
- Have you included correct national coding for qualifications, units of competency and the Training Package, consistent with the national codes used in the NTIS?
- Have you included the national Training Package code and the list of qualifications on the cover/title page?
- Have you included appropriate logos on the cover?

### PRINT PRODUCTION SPECIFICATION

- Have you presented your hard copy printed at 300DPI especially when greyscale images are included within the document ?
- Have you presented one clean laser printed hard copy of each element which is identical to the soft copy of the material?
- Have you set all print to 'black on white'?

### ELECTRONIC/ SOFT COPY PRODUCTION SPECIFICATIONS

- To facilitate record keeping and reproduction consistent with new technology, all materials should be presented in two (x 2) electronic copies whose content is identical to the hard copy.
- All electronic media is best supplied as Master copy . For instance, Unimax for vhs video, gold master for writable CD technology.
- To assist reproduction, you are advised to accompany electronic files with documentation to indicate file name, location, and original directory structure as well the type and version of software used. Advice on word processing and desk top publishing packages are provided in *Guidelines for Print-on-Demand Publications* (Pages 18-21)

[1] The *Standards Best Practice Manual* is available form Australian Training Products (ATP), (03)9630 9836 37. Order forms from the web page, www.atpi.net.au

[2] The *Guidelines for Print-On-Demand Publications* is available free of charge from ATP on (03) 9630 9836

- Have you supplied a separate build list for graphics, if applicable?
- If you have used graphics, have you embedded them into the parent document as well as supplied them as separate files? (All bitmap files as '.tif') (see Page 21, *Guidelines for Print-on-Demand Publications*)
- Well accepted storage media is: ZIP 100 MB :Syquest 3.5" 270 MB drive: 3.5" floppy , in that order of preference. (see *Guidelines for Print -on-Demand Publications*, Page 19.)
- Have you prepared all files in IBM based software which is compatible with most systems?
- Have you specified all fonts, particularly if they are not default fonts found in MS Office/Windows 3.11 or Windows 95 environment? Please supply font files separately if unsure. (See Pages 16-17 of *Guidelines for Print-on-Demand Publications*.)

## TOTAL PACKAGE PRESENTATION

- Consideration needs to be given to the way you intend the materials to be used (for instance, are there special conditions in the workplaces where they are to be used which will require special forms of packaging?). (See Checklist Pages 36-38, *Guidelines for Print-on-Demand Publications* )
- Have you considered that the design and presentation of Training Packages should try to minimise the reproduction and distribution costs of materials to make them affordable for the VET system?
- Have you documented relationships between components where special instructions on packaging and presentation should be included?

## GUIDELINES FOR PREPARATION FOR THE NATIONAL TRAINING INFORMATION SERVICE

The NTIS is an interrelational database developed by ANTA in co-operation with States and Territories. The NTIS database supersedes the previous National Register and contains details on endorsed competency standards, accredited courses, registered providers/RTOs and contact details of organisations such as ITABs and State Training Authorities. In addition, it also contains information on endorsed Training Packages and related projects under development. The NTIS is publicly accessible via the Internet on **http://www.anta.gov.au/ntis**. When fully operational during 1998 the NTIS will provide a central authoritative source of information on the NTF including extensive details of all endorsed components of Training Packages and full scope of registration of RTOs.

### PUBLIC ACCESS TO DETAILS OF TRAINING PACKAGES AND STAND ALONE COMPETENCY STANDARDS

The ANTA Board made a decision in 1997 that as a general practice full details of endorsed industry standards and the endorsed components of Training Packages be accessible on the NTIS via the internet. This enables public access to full details of standards, assessment guidelines and qualifications. Provision was made for developers of competency standards and Training Packages to justify to the NTFC why details should be exempted from full access via the internet. Exemption criteria determined by the NTFC are:

1. loss of international competitive advantage
2. public risk.

Other information may be provided by the proponent to assist the NTFC in making a determination.

Public access via the Internet to the Standards title, Unit title and Unit descriptor where that is available will generally be provided irrespective of whether exemption from public access via the internet has been granted. Provision has not been made within the NTIS for contextual information specific to a set of standards or a Training Package. An indicator is provided within the NTIS to identify the responsible body for further information.

Capacity has been provided for extensive searching across all standards thereby assisting Training Package developers and industry in seeking specific information related to a topic.

### 6 NATIONAL CODING SYSTEM

To assist with identification of Training Packages, associated Units of Competence and Qualifications, an identifying coding system has been established and this assigns a unique identifier to constituent components of Training Packages and stand alone Competency Standards. This coding system is for identification purposes within Training Package documentation and is replicated on the NTIS. The national codes must be used and applied consistently within the Training Packages.

### 7 TRAINING PACKAGE AND QUALIFICATIONS

#### TRAINING PACKAGE

A unique identifier for a **Training Package**, a three alpha code, will be assigned. First two alphas align to a broad industry. These have been identified by ANTA and conveyed to Training Package developers. The third alpha is for identification of the Training Package within an industry sector. The third alpha will be assigned by ANTA in consultation with the appropriate developer. Once determined, the code will be accessible via the NTIS.

VAA

## QUALIFICATIONS

To provide an identification of a **qualification level** a single numeric code is to be assigned. The numeric code to be consistent with the AQF eg Certificate 1 to be allocated '1', Graduate Certificate '8' etc. See *AQF Handbook* for further levels.

**1**

For a unique identifier for each **qualification** under a particular Training Package a two numeric code is to be assigned by the proponent. This allows for 99 qualifications at each level of the AQF for each Training Package (1-99). The first qualification at each level to commence with '01'.

**2 3**

As version control a two numeric code is to be assigned by the proponent and this is to be allocated on the basis of the year of endorsement of the Training Package by Ministers. Year 2000 to be allocated 00.

| V A A | 1 | 2 3 | 9 7 |
|---|---|---|---|
| Training Package Identifier | Qualification Level | Qualification Identifier | Version Identifier |

**Example:**
Hospitality Training Package **V A A 97**
Certificate I in Hospitality
(Kitchen Attending) **V A A 1 2 3 9 7**

From the coding of the qualification it is obvious to those familiar with the coding system that it is a Training Package as the coding is quite different to present national codings for accredited courses which usually are a four or five numeric identifier. The Parent Training Package is identified (VAA) with VA providing a clue as to the industry sector as the same first two initials will be used for all Training Packages associated with a particular industry sector. The qualification level has been identified (AQF Certificate 1) and this is linked to a unique identifier. In this case it is the 23rd qualification at Certificate Level 1. The year of endorsement is clearly visible. It is not envisaged that a Training Package will be resubmitted within a single year.

**9 7**

The eight character unique identifier for the qualification is consistent with AVETMISS.

In the case of a qualification being added to the Training Package, the qualification adopts the version control of the original Training Package.

## ENTERPRISE SPECIFIC TRAINING PACKAGES

Training Packages specific to an enterprise will also be assigned a unique identifier and this will commence with the letter 'Z'. The second and third alpha will be assigned by ANTA in consultation with the enterprise developing the Training Package.

## STANDARDS AND UNITS OF COMPETENCE

### STANDARDS

To clearly identify the standard with the Training Package the same three alpha code as the Training Package is assigned. This signifies the integrated nature of the standards and the TP with there being no purpose for the standard to be separately identified.

**V A A**

### UNITS OF COMPETENCE

Where standards are developed as part of a Training Package, units of competence from within the Training Package are to be prefixed by the three alpha code of the Training Package.

To clearly identify a Unit of Competence a **maximum eight** character field is provided. This can include alpha, numeric, slashes and dots. The eight character field accommodates Training Package submissions already received. The eight character identifier is a maximum with less being preferred. **The identifier is nominated by the TP developer.**

**A D T H S / 0 1**

In the event of additional units of competence being inserted in the Training Package, these are assigned new identifiers by ITABs without altering codings of existing units. The original version control will be retained unless the TP in its entirety is presented for formal endorsement. If formal endorsement is required, a new version identifier will be inserted for all units. Units that are unchanged retain their original unit identifier with those that are changed or added allocated a new unit identifier.

As version control a one alpha code is to be assigned by the proponent. 'A' being the original version and changing with each new update. This allows for approximately 24 updates with I and O being omitted.

A

| V A A | A D T H S / 0 1 | A |
|---|---|---|
| Standard Identifier (same as TP) | Unit of Competence identifier (accommodates all present endorsed Units) | Version Identifier |

**Example:**

Standards for Hospitality Training Package V A A A

Unit of Competence from Hospitality Training package V A A A D T H S / 0 1 A

Where Units of Competence are adopted in their entirety from another Training Package for example units on administration, communication or OH&S, these should **retain their own unique identifier including the parent Training Package code.** Units adopted should not be recoded by ITABs. Original codes enable tracking on the NTIS, assists with assessment across industries, and facilitates recognition under the full range of qualifications across all Training Packages.

## CODINGS FOR UNITS OF COMPETENCE WHICH PREVIOUSLY WERE NOT PART OF A TRAINING PACKAGE

Where Units of Competence from previously endorsed stand alone standards which are not part of a Training Package are adopted **from another industry** into a newly developed Training Package, these units are to be recoded. Previously endorsed standards have a four or five digit national identifier for the standard with units having an identifier assigned by the original CSB. If some of these units are to be incorporated in a Training Package they will require recoding consistent with the approach outlined in this paper. *Codings are not to be assigned by the body adopting the Units of Competence but are to be assigned by the body which has coverage over the standards.*

The procedure to be followed is as follows:

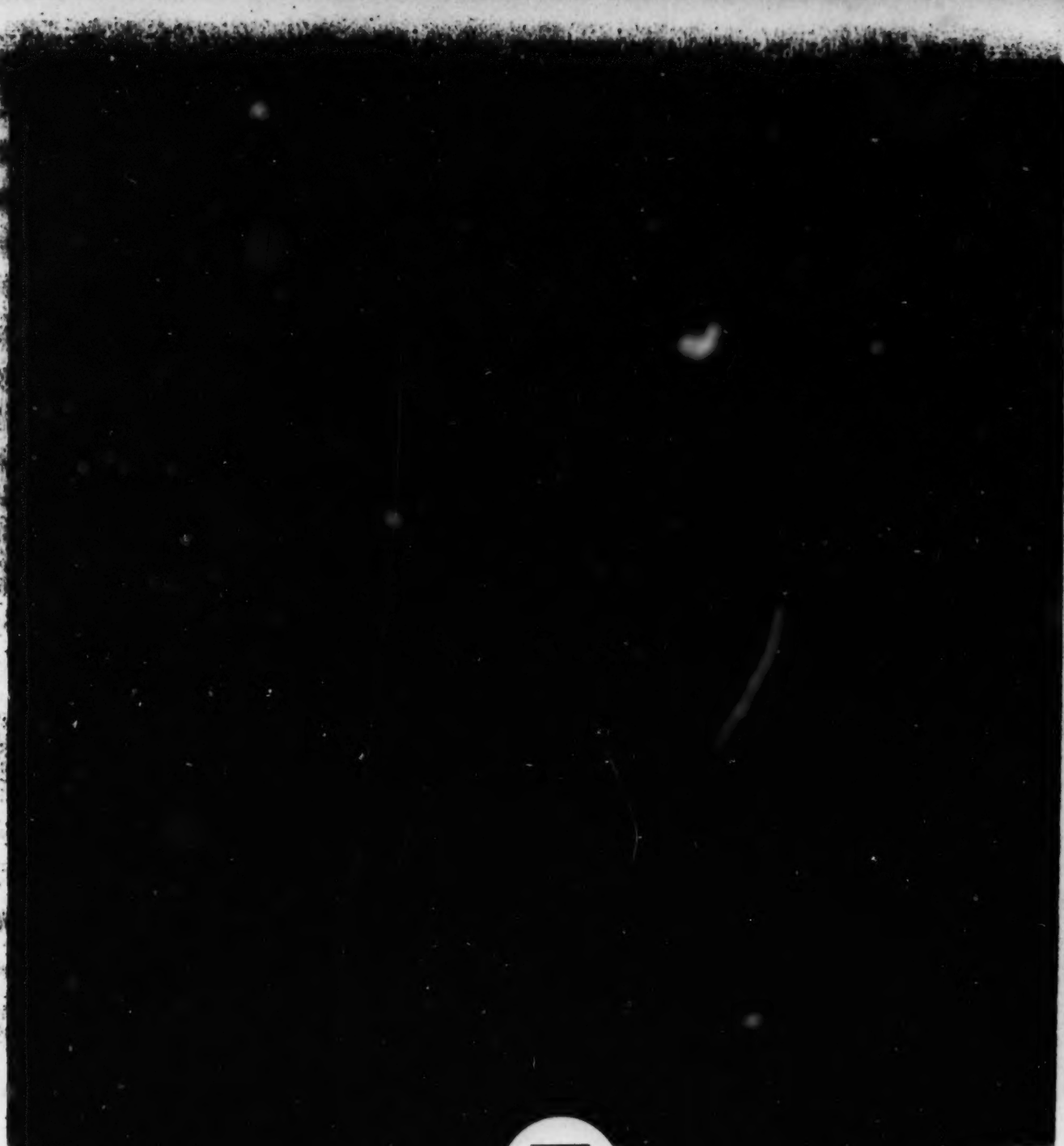
- **Training Package/Standard coding**
  Obtain from the body which has coverage over the standards the first two of three alpha codes assigned to that industry sector for Training Packages and standards. The third alpha code is to be 'X'. This will signify that the unit coding which follows is not linked to a Training Package by the originator of the Unit.

The 'X' will change when the unit is adopted within a Training Package by the originator.

- **Unit identifier**
  Obtain from the body which has coverage of the standards and units a unique identifier for the unit which is to be incorporated in the Training Package. This is to be no longer than eight digits consistent with the identifiers for normal unit identifiers for Training Packages. This coding is to be maintained for the life of the unit irrespective of which Training Package uses the unit.

## FURTHER INFORMATION

If further information is required on coding please contact:
**Tony Vandenberg (03) 9630 9825**



Updated March 1998

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